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ABSTRACT

This reader is intended to supplement existing textbooks and instructional materials in both introductory and advanced courses for archivists, records managers, and other information specialists. Although the articles and reports selected for inclusion necessarily reflect various international concepts emerging from administrative traditions and record-keeping practices, they also emphasize the basic principles, practices, and problems that unite all archivists and records managers. The compilation includes a selection of readings in each of 12 major sections: (1) The Role of Archives; (2) Basic Principles; (3) Basic Legal Problems; (4) Professional Training of Archival Personnel; (5) Archives and Records Management; (6) Appraisal and Disposal; (7) Arrangement and Description; (8) Access and Reference Service; (9) Exhibitions, Educational Services, Public Relations; (10) Conservation; (11) Modern Technology and Archives; and (12) International Archival Developments. A list of 49 RAMP (Records and Archives Management Programme) studies and documents is appended. (THC)

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Modern Archives Administration and Records Management: A RAMP Reader

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United Nations Educational,
Scientific and Cultural Organization

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PREFACE

In order to assist in meeting the needs of Member States, particularly developing countries, in the specialized areas of Archives Administration and Records Management, the Division of the General Information Programme has developed a long-term Records and Archives Management Programme - RAMP.

The basic elements of RAMP reflect and contribute to the overall themes of the General Information Programme. RAMP thus includes projects, studies and other activities intended to :

- develop standards, rules, methods and other normative tools for the processing and transfer of specialized information and the creation of compatible information systems;
- enable developing countries to set up their own data bases and to have access to those now in existence throughout the world, so as to increase the exchange and flow of information through the application of modern technologies;
- promote the development of specialized regional information networks;
- contribute to the harmonious development of compatible international information services and systems;
- set up national information systems and improve the various components of these systems;
- formulate development policies and plans in this field;
- train information specialists and users and develop the national and regional potential for education and training in the information sciences, library science and archives administration.

The present Reader is intended to help meet the basic need for instructional material in both introductory and advanced courses for archivists, records managers, and other information specialists. While necessarily reflecting various national concepts emerging from administrative traditions and record-keeping practices, the readings selected for inclusion emphasize the basic principles, practices and problems which unite all archivists and records managers in a common profession. The Reader is also intended to promote the harmonization of training of all information professionals by making conveniently available an overview, in an international perspective, of archival and records management functions and activities.

All articles marked with an asterisk have been translated by Mr. A.W. Mabbs under a Unesco contract with the International Council on Archives.

The designations employed and the presentation of material throughout this publication do not imply the expression of any opinion whatsoever on the part of Unesco concerning the legal status of any country or territory, or of its authorities, or concerning the delimitations of its frontiers or boundaries.

The editor is responsible for the choice and the presentation of the texts contained in this book. The opinions expressed therein are not necessarily those of Unesco and do not commit the Organization.

Comments and suggestions regarding this Reader are welcome and should be addressed to the Division of the General Information Programme, Unesco 7, Place de Fontenoy, 75700 Paris, France. Other studies prepared under the RAMP programme -a list of which appears at the end of volume II- as well as related publications in the information field, may also be obtained at the same address.

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INTRODUCTION

This Reader in Modern Archive Administration and Records Management has been prepared by a working group of the International Council on Archives in fulfilment of a contract with Unesco within the framework of the Records and Archives Management Programme (RAMP).

It is intended to supplement existing textbooks and manuals on archive administration and records management. Whilst these textbooks and manuals will remain basic required reading for all aspiring archivists and still be essential to the student for an understanding of underlying concepts and theories in these two fields, they suffer from two disadvantages.

Firstly, they cannot provide an orientation in the greatly widened practices of the archival profession as they have evolved and developed since the end of World War II and particularly within the past three decades. Secondly, they were each conceived and written against particular administrative and legal backgrounds reflecting differing systems, traditions and national practices.

It is because of these differences that no international manuals on archive administration and records management have been written, which could serve as basic texts for the education and professional training of archivists in all countries, including developing countries, regardless of administrative and legal background and history.

A reader such as this will thus perform the essential function of providing basic readings in the form of articles or reports, taken principally from archival periodical literature or from serial publications and comprising texts which mainly -but not exclusively- first appeared in either the English or French languages. The texts were selected because they are sufficiently international in content, character, scope and/or applicability to provide the student archivist with a wider view of the practices of the archive and records management professions of today. The purpose of this Reader is also to initiate the user into the more recent developments in thinking and the concepts and theoretical basis of archival and records management operations, especially as they have evolved and developed since the 1950s.

The arrangement of the contents attempts rather to introduce the user to more important broad fields of professional activity than to provide a detailed account of each. Within the covers of a publication of modest size and within the limited time available for its compilation, the choice of texts had to be highly selective and confined to those of sufficient breadth of treatment of their chosen subject and wide enough in scope to bring the user into contact with modern, current thought.

For obvious reasons, no attempt has been made to include the same number of articles in each section. Some topics require more extended treatment than others, whilst some subjects are not, in an international context, well represented by many texts in the relevant literature. Other topics, particularly those of a technical nature, such as reprography and automatic data processing, are so subject to rapid technological change that the most recently available "state of the art" article or report is the most appropriate one to present. From the footnote references to these, as indeed to all the texts included in the Reader, users will be led on to other relevant literature and thus enabled to widen their contact with current thought, practices and developments.

All texts were reproduced without any changes, or up-dating. They are included in this volume with permission of the copyright owners or of those originally responsible for their publication.

Since the Reader is arranged under subject heads and with authors' names clearly indicated in the table of contents, it has not been thought necessary to provide an index.

The working group responsible for the compilation of this Reader consisted of Mr. Michel Duchein (France), Dr. Frank B. Evans (U.S.A.), Dr. Eckhart G. Franz (Federal Republic of Germany), Dr. Charles Kecskemeti (International Council on Archives), Dr. Eric Ketelaar (Netherlands) and Mr. Peter Walne (United Kingdom) who, in his capacity as ICA Secretary for Publications, served as project director.

The original concept for this Reader came from Mr. Morris Rieger (U.S.A.), though on a broader scale. Regrettably, ill health prevented him from realising his project. This volume, however, owes much to his ideas and approach.

Peter Walne

15 October 1983

THE ROLE OF ARCHIVES

THE RESPONSIBILITIES OF THE ARCHIVES AND THE DUTIES OF ARCHIVISTS

by Robert-Henri Bautier,
Professor at the Ecole nationale des Chartes

INTRODUCTION

Twenty years after the International Council on Archives was founded, when the number of countries with archival services has grown considerably, and on the occasion of this 12th session of the International Conference of the Round Table on Archives, it seems worth considering whether the concept we have of the responsibilities of the Archives and of the duties of archivists is much the same in all countries, and taking note of any differences which are found from country to country. This will enable us to give special attention to those of the wide range of activities to which our colleagues or their governments have given priority, either as a matter of law or practice ; and from this we can follow the direction in which the concept of archives is developing. In doing this we do not forget that it has always been the aim of the Round Table to identify the main themes of archives administration, while respecting different practices which are used in each country.

TRADITIONAL CONCEPTS

There has obviously been much change during the past generation. Not long ago archivists in most European countries, faithful to the principles that had been slowly developed during the nineteenth century, agreed that they wanted primarily to be historians and to look upon their repositories as centres for keeping archives of permanent value which would be used for historical research. Any relationship with government departments was considered to be only of secondary importance ; and in many cases the initiative for making transfers of records, and sometimes even for destroying worthless documents, came only from staff in government departments. Moreover, in many countries records were transferred to the Archives only after periods of time which varied considerably : a hundred or fifty years, as, in Germany, Belgium, Italy, the Netherlands, etc. It was considered much more important to process

earlier documents than those of more recent years ; and inventories, calendars or texts of medieval archives enjoyed a much higher prestige in the eyes of the archivist-palaeographers, with their erudite background. Without actually neglecting requests to provide information to government departments, the main aims of the Archives were always directed towards helping the research work of historians. In the course of their professional work some archivists even had a tendency to give special attention to documents which were related to their personal research work ; and this tended to overshadow the more general cultural nature of the archivist's vocation.

On the other hand, some countries which do not have a great wealth of older archives build up archival services which are much more orientated towards administrative records. Their staff, without real historical training and recruited from departmental officials, librarians or documentalists, have been specially trained to maintain government records.

We might wonder therefore if there might soon be a split between these two concepts of the archivist's job, between the archivist-historians, who play no part in activities concerned with the records of government departments, and the archivist-administrators, who have no historical background.

Both concepts emphasize the fact that the primary task of the archivist is to be concerned mainly, if not exclusively, with archives created by the activities of the State and local government, and that non-public records, which are not the direct concern of public Archives, have been given over to libraries and various cultural institutions.

DEVELOPMENT

It is today quite clear to what extent the situation has changed in all these respects ; and we think it is important to emphasize this at the beginning of the Report. While considering themselves everywhere as responsible for serving historical research, archivists have nevertheless established or re-established close links with the offices of record-creating agencies, and they go out to look at records in those agencies instead of waiting for their arrival in the Archives. Moreover, they no longer confine their attentions to written material or to public records, or even to documents which appear to have a permanent value ; and a concept of 'total archives' has emerged. With a great wealth of material in his custody the archivist tries to present it to the largest possible public, and he expects it to be exploited to the full.

While some development can be seen everywhere it certainly is not enough in some countries. Factors which affect the successful

development of an archives service are its size, its status (central, regional or local), the strength of resistance to changes in traditional ideas by administrators and some archivists, and, above all, difficulties in getting the additional staff and funds which are essential for growth.

THE ROLE OF THE ARCHIVES IN HISTORICAL RESEARCH AND THE PROBLEM OF CONTEMPORARY PAPERS

Much emphasis is placed today on the need for the Archives to form part of the government machine, and to get fully involved in records management, by organising current papers and ensuring that the permanent records of each body are properly maintained. But is it certain that this is always seen as a proper purpose of the Archives ?

There are in fact strong reservations against a concept which to some appears to conflict with the real role of the Archives. Thus, in the Federal Republic of Germany, while the Federal Archives and the Archives of some of the *Länder* (notably North Rhine Westphalia) are involved in the general problems of contemporary administrative records, most of the *Länder* only take into their custody those documents which have sufficient value for historical or legal purposes to justify their permanent preservation, or at least their retention for long periods. This is very close to the policy followed in the German Democratic Republic, Austria, and in most of the Swiss cantons. The same principle is followed in the Netherlands, where the State Archives receive records only when they are more than fifty years old (exceptionally twenty-five years old).

In some other countries the Archives willingly extends its responsibilities to contemporary records, but in no way does this diminish the primary role of the archives in the field of history. Thus in Great Britain the aim of archivists in the Public Record Office is to supervise the selection for permanent preservation and the transfer of records produced by the law courts and government departments. The same situation exists in France, as is explained in the report, where papers are collected with the long-term objective of keeping all material which will be useful for historical research. The Italian reply, which was presented in a different way, adds little to this concept, for, while insisting (as do the Scandinavian countries) that archives, whether in offices or the Archives, have the same unique character, it goes on to define the archivist primarily as an 'academic searcher'. The Roumanian archivists begin their reply by recalling that legislation in their country lays down the 'scholarly, cultural and educational aims' of the Archives.

In spite of affirmations of the principle that the archivist should consider himself responsible for 'records management', it is obvious

that most of our colleagues do not understand precisely the meaning of an expression which applies specifically to an American practice, and which does not seem appropriate to situations in other countries.

Archivists are more and more convinced of the need to establish control over papers at the earliest possible time in order to make it possible to have regular transfers, and to ensure that the files are properly arranged, so as to facilitate their ultimate transfer to the Archives and the disposal procedures. They therefore now claim a right to inspect current records. But from the point of view of archival policy it is important to consider at what stage in the life of records the archivist should intervene.

It seems to me that the archivist should play no part before archives are created ; that is to say, not when an individual paper is created, but only when the file is opened and, especially, when files are being organised in relation to one another. But in its full sense 'records management' is concerned with the creation of every individual document, with official forms, with the number of copies to be made of a given paper, with the movement through different departments of a paper which has been received, up to the drafting and typing of the paper which is despatched. Thus records management is concerned with the organisation of all 'paper-work', especially the standardisation of working methods and materials, and indeed even the training of administrative staff. If it is accepted today that the archivist should have some right to monitor the creation of records, does it not follow that he should have some interest in the 'pre-natal stage' ?

We believe that the Archives should not have any kind of responsibility for organisation and methods services which exist under various names in most countries, and which are also responsible for the public service and for administrative reforms. Nor would it be possible for the Archives to be absorbed by them. They are two distinctly different professions, even if they have a great deal in common. We believe therefore that it is desirable to have cooperation between archivists and records managers which is closer than usually exists today ; and moreover that the voice of archivists should be heard more in those bodies which are responsible for administrative methods. But to go beyond that would clearly exceed the limits of responsibility of the Archives.

It seems to us advisable not to press ahead with this aspect of a development in archival activities which seems unsound, both in theory and practice. To adopt such a policy would risk compromising the real aims of the Archives and wasting the considerable professional abilities of their staff. We must then try to bring out as precisely as possible what we consider to be the responsibilities of the Archives¹.

¹ On some points which were discussed at the VIIth Round Table Conference in Madrid in 1962 we will content ourselves by referring to the excellent report of Yves Pérotin, *Le Concept d'archives et les frontières de l'archivistique*, which is to some extent developed in the present report.

We would like to thank the 26 colleagues from 25 countries who have given their time to answer so carefully the long questionnaire which we sent them, and on whose replies this general report is based :

- Australia : Commonwealth Archives Office (K. Penny).
Austria : General Directorate of State Archives (Dr. Mikoletsky).
Belgium : *Archives générales du Royaume* (C. Wyffels).
Cameroon : Directorate of Federal Archives and National Library (M. Etende).
Canada : Public Archives (B. Weillbrenner, Department of Historical Archives).
Czechoslovakia : Department for Czech Archives (V. Sykora) ; Department for Slovak Archives.
Dahomey* : *Institut de recherches appliquées* (J.A. Djivo, Director, Head of the Department of National Archives).
Finland : National Archives (M. Kerkkonen).
France : *Direction générale des Archives* (G. Duboscq, Inspector-General).
Germany (Democratic Republic of) : State Archives.
Germany (Federal Republic of) : Federal Archives (President, Dr. Mommsen) ; State Archives of Baden Wurtemberg, of Bavaria, of Hamburg, of Hesse, of Rhineland Palatinate, of North Rhine Westphalia, of Saar, of Lower Saxony, of Schleswig-Holstein. Combined report for Germany (Dr. Mommsen).
Great Britain : Public Record Office.
Greece : National Archives (A. Diamantis, Deputy Director).
Hungary : Archives Directorate (J. Varga).
Israel : State Archivist (A. Bein).
Italy : General Directorate of State Archives (G. Antonelli, Director of the Department of Archives).
Ivory Coast : *Direction des archives nationales* (Dro Kesse, Deputy Director).
Malaysia : National Archives (Dato' Alwi Jantan, Director).
Netherlands : General State Archives (A.E.M. Ribberink) and Netherlands Association of Archivists (R.A.D. Renting).
Norway : National Archives (D. Mannsaker).
Poland : State Archives (A. Ptasnikowa, Search Department).
Roumania : General Directorate of Archives.
Sweden : National Archives (O. Jägerskiöld).
Switzerland : Archives of the Confederation (L. Haas) ; Association of Swiss Archivists (B. Meyer).
Yugoslavia : Federal archives (F. Biljan).

* since 1975 Benin.

I. THE RESPONSIBILITIES OF THE ARCHIVES

It is unusual for statutes and regulations to give much detail about the functions of the Archives. Such detail can be found only in some of the more recent legislation, particularly in countries in Eastern Europe and Africa ; and even these statutes are generally sufficiently flexible to make it possible to enlarge the scope of the responsibilities of the Archives and of the government departments whose archives are concerned.

BROAD DEFINITION OF THE RESPONSIBILITIES OF THE ARCHIVES

Is it possible to find in the replies which have been received from the various countries a definition which takes account of different points of view and which we can all accept ? We believe that it is possible, even though this may not be confirmed by the debate which will take place during this Round Table Conference.

We shall therefore define the Archives as an organisation of a scholarly character which has certain administrative functions.

It is difficult to distinguish between these two aspects of the same body. The position in Hungary is quite clear in this respect. Other countries, however, and notably France, Roumania and Yugoslavia, would like to add to this definition a reference to the cultural and educational role of the Archives. We believe that, while this is important, it can only be considered as secondary, and that it follows from the scholarly role of the Archives. It cannot be denied that the Archives should organise exhibitions, receive school parties and publish documents. These activities derive from the main responsibilities of the Archives, or rather its two-fold responsibility : that of preserving archives, and that of providing access to a mass of documentation by all possible means.

THE CONCEPT OF CUSTODY AND ITS CONSEQUENCES

By 'custody' we mean not only the physical storage of archives but also all the operations which ensure their preservation ; that is to say, both collecting the material and selecting that which is worthy of preservation and that which should be destroyed.

Ideas on the kinds of documentary material which should become archives have changed, as everyone knows. Today such material is not confined solely to written documents, and we should include all records concerned with the activities of administrative bodies, whatever the form of the documentation might be : printed documents, machine-readable records, sound recordings, cinematograph films, plans and technical drawings.

The responsibility which the Archives has for preserving the documentary heritage of a country, region or town carries with

it the obligation to go beyond records arising from the activities of public offices, and to look also to the records of parastatal bodies, organisations, commercial firms, families and individuals. That is to say, the present-day archivist sees his responsibilities extended to the whole range of historical archives without consideration of date, of the nature of the material or of legal status : the growth of legislation and actual achievements at the international level are in this respect quite clear to see, even if economic and social conditions in some countries have prevented the natural development of this basic trend. The facts are so evident that they need not be emphasized, especially as these matters have already been discussed in International Congresses on Archives and in Round Table Conferences.

We shall merely say that, so far as principles are concerned, this position has been precisely met in France by a decree of 1945 which brought both public and private archives within the competence of the *Direction des archives*. This was also included in the definition of the powers of the Directors of the Archives in Malaysia and in Cameroon ; and the Italian law also spells out clearly the conditions under which *vigilanza* should be exercised. This problem is very much to the fore in many countries today ; some, like Great Britain, which have as a matter of policy confined their efforts to public records, now believe that it is right to keep non-public material in public Archives.

The requirements for preserving archives also impose on the Archives the special task of supervising the management of records in public offices, and especially their ultimate transfer. It is in order to ensure the best conditions for the transfer of documents worthy of preservation that archivists now cooperate with government departments to help with the storage of papers which, although they no longer are in daily use, must be kept accessible and cannot yet be destroyed or transferred to the Archives. Here again we shall not dwell on a problem which is well-known to archivists and which has been discussed at professional meetings at national and international levels.

THE EXPLOITATION OF ARCHIVES

This potential source of information which is in the hands of the archivist cannot simply be stored away ; archive repositories are not merely places where documents are stored, 'granaries of history' as they have been called with a greater sense of poetry than truth. The archivist has to make it possible for the greatest number of people to exploit all this material.

Access to documents is made possible by the processes of appraisal, arrangement, and the preparation of finding aids (such as guides, inventories, lists and calendars). The work of the archivist is largely concerned with the processing of archives in these ways.

The use of archives requires the publication of inventories and other means of reference to the documents. In this respect it is very satisfactory to know that a considerable effort has been made in many countries to carry out work of this kind which is essential in giving access to searchers. Although this question is not specifically on the agenda of this Conference, it should be mentioned here. Without attempting to make a list of the most successful countries in this respect, we can simply recall the impressive series of finding aids published by countries like France, Hungary, Italy, Roumania and Czechoslovakia.

The exploitation of archives is further facilitated by editing volumes of source material, which some countries regard more and more as one of the tasks of the Archives. Publication of studies on the history of organisations whose records have been transferred also provides an invaluable introduction to the use of those documents. While we do not want to minimise the value of these aspects of the work of the Archives, we must however emphasize that we do not consider them to be absolutely essential. Bodies other than the Archives are in fact capable of preparing such editions of texts or studies, either by themselves or in collaboration with the Archives. The latter should give priority to making finding aids which give the quickest possible access to the most important material ; and it seems a pity that some Archives devote all their efforts, at high cost, to editing collections of documents or making calendars, when almost all their holdings are without adequate finding aids and are still inaccessible. Only those Archives with sufficient staff should commit part of their resources to programmes of this kind.

The aim of the Archives, as is rightly emphasized in the Israeli reply, should be to serve those who use the documents in its custody. This implies that action taken by the Archives should move in three different directions, according to the kinds of users they have. First, they should provide government departments with all the documents they require. Then they must give facilities for the public to get information on their legal rights and to obtain copies of records, certificates, etc. Finally, the very nature of the Archives gives them a special obligation to look after the interests of research bodies and individual researchers, particularly in the field of history. To these may be added activities in the field of education (educational services, exhibitions, etc.) insofar as they are compatible with the resources of staff and premises which are available. We shall return later to this last point.

PRIORITIES ?

In many countries the Archives are reluctant to establish priorities between their administrative and scholarly functions, between their role in preserving archives and that of making them available for use. We have, in fact, seen how these factors are closely linked,

to the extent that it is almost impossible not to consider them as two aspects of the same activity.

An all-embracing concept of the work of the archivist is needed to meet the idea that archives, both recently produced papers and existing archive groups, present a single problem ; it would then be impossible to give greater priority either to its scholarly or administrative aspects. The end-purpose of archives is to serve the interests of research, in the widest possible sense. The basic requirement to achieve this objective is for records to be well organised from the time of their creation ; and from this point of view training and the management and appraisal of current records are just as important as the processing of archives already transferred to the Archives.

We can only express our agreement with this point of view, which has been expressed so strongly. However, it is important to stress that this was the opinion given particularly by countries which have been created in more recent years and which do not have large quantities of earlier archives (Australia, Israel, Malaysia), or countries where archives have always been in the custody of the *Registratur* of the chancery (Sweden, Norway).

Nevertheless, the idea that a balance must be kept between historical archives and contemporary records has made great progress in the last twenty years. Some countries, like France and Great Britain, which in the recent past have given priority to work on archives in their custody, and to historical aspects of this material, have tended currently to concentrate on collaborating with government departments in order to ensure the best ways of selecting records for permanent preservation. In France, both in the *Archives nationales* and in several *Archives départementales*, record centres have been established, and records schedules have been prepared giving retention periods of records of government agencies. The Public Record Office in London, a common service department under the Lord Chancellor's Office, cooperates with specialised Organisation and Methods services in various parts of the government service in the task of selecting records for permanent preservation. In the Netherlands the archives law of 1962, which came into force on 1 May 1968, gave the Archives a responsibility for the preservation and elimination of current administrative records, as well as their traditional functions in historical archives. There is the same tendency in the Federal Republic of Germany, both in the Federal Archives and in some of the *Länder*. All these are today influencing the direction in which the archival profession is moving.

It is nevertheless a fact that while archival authorities today are willing to assist government departments in the management of their current records, they do it essentially in order to ensure that records of permanent value are preserved ; and it is clear from the great majority of replies received that this remains the first priority of the Archives. The vast growth in the quantities of records kept by government departments makes it important that

the necessary procedures are carried out efficiently and quickly by the Archives. The reply from Yugoslavia expresses this clearly. Bavaria gives the tactful opinion that if the Archives have an absolute priority it is to make sure that everything is done which is essential for the preservation of archives.

We have already alluded in the Introduction to the question of deciding the purpose for which the Archives becomes involved in records management : is it to help improve efficiency in government offices ? ; or is it to provide better access to records (both while current and in the long term, after transfer) by assisting departments with the management of their records from the time of their creation, and particularly to facilitate the transfer of records suitable for permanent preservation ? The problem is to make up our minds whether the Archives should play a part before current records are created or only at some later stage.

It is clear from the replies we have received that the archivist, who has a duty to posterity to preserve documentary sources for the study of his country or region, must always keep the historical viewpoint in his mind.

It is quite obvious that the highest priority is the preservation and safeguarding of the archives. It can be well understood that in those Archives with very small staff - and this is often the case in some of the new countries in Africa which have answered the questionnaire - there is no alternative but to devote all resources to collecting and storing documents, which will have to be processed at some later time when staff and accommodation makes it possible.

A large number of replies, notably from Germany, Austria, Canada, France, Italy, Roumania and Yugoslavia insist on the importance of the academic and cultural aspects of the work of the archivist. It is clear that, in spite of different ways of expression and different ways of doing things, there is a great degree of unanimity in the concept which Archives in countries of varying political and social structures have of the ultimate aim of their work.

SPECIAL ASPECTS OF THE WORK OF THE ARCHIVES IN HISTORICAL RESEARCH

As archival institutions have been defined earlier as scholarly establishments it is obvious that they play *ipso facto* an eminent part in historical research. The truth of this statement is backed by Italy which, in her reply dealing with relations between the Archives and bodies responsible for historical research, states simply that the Archives themselves are by definition centres of historical research, and that their work and their publications (beginning with their inventories) are of a scholarly nature and contribute as much as those of other research bodies to the advancement of historical knowledge.

Leaving aside this philosophical aspect of the basically historical nature of the work of the Archives, we wonder if the latter can and should : firstly, act as a research centre, independently conducting work of an historical nature, other than that which goes into the preparation of guides, inventories and lists of documents ; and secondly, take custody not only of records produced by government departments and parastatal bodies, but also other kinds of documentary sources concerned with the history of a country or region.

1. Should the Archives act as research centres ?

It is almost unanimously agreed in the replies we have received that the Archives should not normally act as centres for historical research. In most countries there are learned societies, university institutes, national research centres and national or regional historical commissions which have the specific task of initiating historical studies or of providing funds for them. The Archives are unable to do this.

On the other hand, the Archives have a duty to give such bodies all possible assistance in their work ; and this help can be given in several ways :

a) The Archives can give practical assistance by providing accommodation in their own buildings and, if necessary, giving the full or part-time services of one or more members of staff. In Sweden the publication of medieval charters is undertaken in this way. In the Public Record Office in London similar assistance is given to the Medieval Latin Dictionary Committee. In the *Archives nationales* in Paris the study of notarial archives for research in the history of literature and music, and also the study of legal archives for the history of medieval judicial procedures, are being undertaken in collaboration with the *Centre national de la recherche scientifique*.

b) Archival establishments can also provide for the needs of research centres within their own work-programme. This is the case in all countries of Eastern Europe (German Democratic Republic, Hungary, Poland, Roumania, Czechoslovakia, Yugoslavia) where at the beginning of each planning period an inventory of needs is drawn up in close cooperation with universities and other bodies concerned with research. In England the Publications Programme of the Public Record Office is established on the advice of the Publications Committee of the Lord Chancellor's Advisory Council on Public Records. It seems that wherever there exists a superior Council for Archives on which there are representatives of the university, cooperation between Archive services and the universities should be strengthened and such matters as the programme for arranging, listing and publishing should give rise to a more thorough exchange of views than at present and relevant decisions should not rest solely with the Central Archives itself.

c) More frequently the Archives, at the request of bodies concerned with historical research, and sometimes of individual researchers, conduct enquiries on the existence of certain kinds of documents and even sometimes carry out wide-ranging surveys across the archival network. Although this often takes up a great deal of time it is regarded as a normal activity in several countries, particularly in Italy and the Netherlands; in the latter it is estimated that about 30% of the archivist's time is spent in this way. Research on behalf of readers is also a normal service in the *Archives nationales* in Paris, and it takes up a great amount of the time of the archivists in all sections.

A survey of sources for a given subject may sometimes develop in a way which makes the Archives decide that it would be useful to prepare a catalogue on that subject. In Canada such a catalogue was made of parish registers; in France guides are being prepared on the history of the Revolution in Provence, and on sources for demography relating to the Midi-Pyrénées region. Surveys of the same kind have been published in Poland.

d) The Archives also decide sometimes to allocate one or more members of staff to take on a particular historical project, particularly when there is a gap in historical research which no other body is prepared to fill. Thus in the *Archives nationales* in Paris a department has been set up to deal with toponymy, and in Baden-Wurtemberg there is now a centre for the study of water-marks in paper. In Greece and in the Saar the Archives are involved in onomastic studies; in Greece they are compiling a directory of combatants in the War of Independence; and in Finland they are making a list of properties and farms.

e) But by far the most common example of cooperation is when archivists are involved in their personal capacity in the work of historical institutes or commissions for research or publications. Such activities can take up varying amounts of the time of archivists. In many cases they form part of the secretariat of learned societies and commissions, which moreover have their headquarters in the Archives. Such activities often take up a great deal of the time of archivists and of the directors of Archives. This is a question to which we shall return later. Such activities are clearly a quite normal extension of the work of the Archives; and indeed the directors of Archives themselves often instigate them, as they are very much in the interests of the Archives.

We can give as examples the collaboration of Belgian archivists with the National Centre for Research in Religious History in work on the *Monasticon belge*, with the inter-university centre for the history of prices and salaries, with the inter-university centre for contemporary history, with the Belgian centre for rural history, etc. Similarly, several archivists in France are responsible for the publication of cartularies, surveys and accounts in the collection *Documents inédits* for the *Comité des travaux historiques et scientifiques* for which I myself provide the secretariat. At the same time about thirty archivists are engaged with academics in a great

collective enterprise under my direction which aims at publishing about forty volumes of an historical atlas of the provinces, which will be a valuable research tool for provincial history.

2. Should the Archives acquire historical sources other than archives ?

There are two conflicting schools of thought on whether the Archives should confine its activities to material which is properly archival in nature, or should acquire sources for history of other kinds. The two points of view are however much less irreconcilable than they were a few years ago.

a) To some people the top priority of the Archives, and even its exclusive purpose, is to preserve and make accessible the archives produced by government departments. The concept of archives was formerly confined only to public records, and documents of private provenance were excluded. The Netherlands renounced this doctrine, which was explained so forcibly in the classic manual by Muller, Feith and Fruin ; and even today the General State Archives has a special department for obtaining information about private archives (*Nederlands Register van familiearchieven*). Great Britain and the United States no longer retain their former rigid attitude to this question. However, the Public Record Office still contains almost exclusively only public records and has no funds for the purchase of private archives. The responsibility for private archives lies with the Historical Manuscripts Commission, and particularly with the National Register of Archives, which although it is housed in the Public Record Office works with university libraries, museums, local authority record offices and owners of private collections who keep their own archives.

Other countries, of course, take the view that public Archives have a special responsibility for private archives, and make strong efforts to get hold of them. They do not however try to get regular funds to allow them to buy private archives, and they almost admit that they regard the acquisition of private collections as much a matter for libraries as for the Archives.

These same countries are unwilling to claim for the Archives the right to acquire other historical material which, while its documentary character is not disputed, cannot properly be called archives. Such material is compared with those collections which, in traditional archival doctrine, were considered to be the preserve of libraries and museums.

b) On the other hand some people consider that the Archives has a duty to provide the most complete documentation of our times which can be obtained. But the form in which such documentation is available has changed considerably as methods of communication have been transformed and as civilisation itself has developed. Today written documents are only one of the formats in which the present age will leave evidence of its activities. It is therefore

the duty of the archivist to accumulate all evidence, whatsoever its physical form and its authorship.

This concept has not been explained better than by the Federal Archives of Germany. They feel morally bound to preserve all kinds of documentation : printed brochures, tracts, notices, newspaper cuttings, reports of political parties, trades unions and various societies, as well as collections of photographs, documentary films, sound recordings, etc. They also consider that the creation of oral archives (the recording of oral evidence on events) is a function of the Archives. Today more than ever before written documents give little more than a record of results and decisions ; the actual conduct of business (particularly in the field of politics) is carried out by conversation, discussion and telephone calls ; and it can be most valuable, particularly in troubled times, to have evidence from politicians, servicemen and others who are involved in events. The documentary film archives of the Federal Archives as of now are rich enough to provide extensive material for television programmes.

We return therefore to the old archival tradition, which dates back a long while, that an archivist should be an historian. This is a proposition which will upset those of our colleagues for whom the Archives should be above all else places for the preservation of government records, which are deeply involved in records management in government departments ; and this is a question which will be discussed fully during the Conference.

This is, in fact, no more than a development of what has been happening in a number of local Archives : municipal Archives in Germany and *Archives départementales* in France are particularly working hard to get together the largest possible documentation for the history of a town or province. In France a new series (Fi) has recently been added to the system of arrangement used by the *Archives départementales* for iconographic material. Some archivists in the *départements* have built up in regional documentation centres collections of press cuttings on all aspects of local life. They have hardly begun to do anything in the field of oral archives, but in a few cases they have made written requests for information, particularly on the history of the Second World War, the occupation, the resistance and the liberation (for example while making a collection of pamphlets and posters we sent such requests for information from August 1944 onwards to all the mayors and town clerks in the *département* in which I was in charge of the Archives). Moreover, most *Archives départementales* have a good library which offers a valuable centre for research in local history, especially as copies of all regional and local newspapers are kept there.

Similar situations exist in several State Archives of the Federal Republic of Germany, especially in Bavaria, where the fourth section of the General State Archives of Munich shares a responsibility with the *Kriegsarchiv* for contemporary historical documentation, as well as in North Rhine Westphalia and in Baden-Wurtemberg. Their libraries are also well stocked ; some have tens of thousands of volumes.

These concepts appear to be shared to some extent or another by East European countries (Hungary, Poland, Roumania, Czechoslovakia and Yugoslavia) and by Canada and Israel. In all these countries the central Archives, and even more the regional and local Archives, acquire material of various kinds which is of value for the history of the area for whose archives they are responsible. Their replies make it clear that even if this material is not of the greatest importance in all cases they attach considerable value to their efforts in getting together the largest possible quantity of source material.

Activities aimed at complementing written archives with non-archival material and at the creation of evidential records (replies to written requests for information or statements recorded on tape) are the subject of debate in other countries, notably Sweden. There seems no doubt that in future these activities should be added to the duties of the Archives and included in the definition of its responsibilities. It is certainly worth discussing this more fully in this Conference, unless we consider that it would be preferable to devote a special session to it during a future Round Table.

IS COMPLEMENTARY MICROFILMING A RESPONSIBILITY OF THE ARCHIVES ?

The attitude of archivists towards complementary microfilming emphasises the differences which exist between them in defining their responsibilities. When an archival institution considers that its duties are not limited to the preservation of records produced by administrative agencies within its jurisdiction, and when it believes that it should provide historians with the greatest possible amount of documentation on national, regional or local history, it tries to fill gaps in its own holdings by a programme of filming documents in other Archives or in libraries, both in its own country and abroad.

Respondents have made their positions quite clear. The English reply is that such a microfilm programme is not one of the aims of the Public Record Office ; the equipment for copying documents in this establishment is quite substantial, but it is intended for other purposes. It is the same in the Netherlands, Finland, Greece, Switzerland and the Democratic Republic of Germany.

On the other hand, the Archives of Poland consider that the losses they suffered during the War has made it essential for them to have a systematic policy of complementary microfilming ; and for the same reason some of the *Länder* in the Federal Republic of Germany also take this view. Complementary microfilming is also included in the plans of Hungary, Roumania and Yugoslavia. Israel considers this as an essential task of the Archives, since the greatest part of the records concerning the history of the

Jews in general and of the territories which are today part of the new State are to be found in foreign Archives. In France there are several *Archives départementales* which have begun to undertake complementary microfilming ; at some time the *Archives nationales* had planned to microfilm documents in foreign Archives which relate to French history, but no progress has been made, at least in any systematic way, since the completion of the planned filming in Venice and the Vatican Archives.

We believe that the establishment of a long-term microfilming programme is one of the most important aspects of policy faced by the management of an Archives ; it is in fact an essential element in the advancement of historical studies which not only fills gaps in the documentation available in the Archives but also makes it possible to make critical comparisons with material in other repositories.

SPECIAL ASPECTS OF THE EDUCATIONAL AND CULTURAL ACTIVITIES OF THE ARCHIVES

The directors of many Archives agree that, while they should give priority to the records of government departments and to providing information to historians and other researchers in the humanities, they should also ensure that archives are used as much for educational and cultural purposes. Such activities are, however, regarded as important but not essential. They are complementary to basic functions (Federal Republic of Germany, Belgium, France, Great Britain, Hungary, Malaysia, Netherlands, Poland, Roumania, Sweden, Czechoslovakia, Yugoslavia). Some countries which consider these activities as most important are prevented from undertaking them owing to lack of sufficient staff and accommodation (Belgium, Finland, Norway). Some countries have only gone so far as to make plans for such activities (Australia, Cameroon, Ivory Coast, Dahomey, Israel). Only the Federal Archives of Germany take the view that this is a specific function of the archives profession.

There is, generally speaking, no wish for the Archives to have responsibility for a museum of national or regional history ; it is considered that this is a function within the normal competence of the museums, according to the way in which administrative responsibility for different functions is usually divided. In Paris, however, the *Musée de l'histoire de France*, which has been in existence for more than a century in the palace of the Princes of Soubise, presents a panorama of national history with the help of historical documents and objects from the *Archives nationales*. It is directed by a *conservateur* who is also responsible for organising exhibitions and coordinating the activities of the education department. Similarly in London there is a museum in the Public Record Office which in 1969 had about 15,000 visitors, of which 2,000 were in groups or school parties. In Israel the Central Zionist Archives have set up and manage the Herzl Museum.

There are, moreover, other Archives in Europe which, while they do not have a proper museum, have one or more rooms in which a permanent exhibition is mounted (Federal Republic of Germany, Belgium, France, Italy).

More often, or even generally, the Archives arrange temporary exhibitions, usually to celebrate some memorable event in national or regional history. This is regarded as normal in the Federal Republic of Germany, Australia, Belgium, Canada, Finland, France, Great Britain, Greece, Hungary, Israel, Italy, Malaysia, Netherlands, Poland, Roumania, Sweden, Czechoslovakia and Yugoslavia. Such exhibitions are held more frequently than a few years ago (except in Sweden), averaging one or two important exhibitions a year for each Archives, with smaller exhibitions being prepared in special circumstances, such as when receiving important visitors, when a conference is being held, when school visits are made, etc. In Czechoslovakia in 1969 there were 251 exhibitions in the Archives. In Poland an 'archives week' is held every five years in all Archives in the country. This is an aspect of the work of an Archives which is not considered to be really essential, and it is a question which has already been the subject of discussion in international congresses ¹. Only the State Archives of Hamburg

¹ There can be no question of listing here all the archive exhibitions which have been held in different countries. We draw attention only to those which took place in 1969 or in a few previous years and which have not been mentioned in International meetings or in *Archivum* :

Federal Republic of Germany : the Eagle of Napoleon over Bremen (Bremen) ; the troubles in Berlin since 1848, according to tracts, newspapers, posters and brochures (Berlin) ; one hundred and fifty years of Wurtemberg institutions, 1819-1969 (Stuttgart) ; treasures of the 12th century (Stuttgart) ; the birth of the Federal Republic (Federal Archives, Coblenz) ; the constitution of the Land of Hesse (20,000 visitors).

Austria : a hundred years of Austrian and European history ; women in history ; fifty years of the Austrian Republic.

Australia : competition for the siting of the federal capital (Canberra).

Canada : heraldic art in Canada ; Canada in maps ; the birth of Manitoba ; Sir Wilfrid Laurier.

Finland : 50th anniversary of independence (1967).

France : National archives : Napoleon ; Saint Louis. Several exhibitions were held in the *Archives départementales* for the fiftieth anniversary of the 1914-1918 war, etc.

(note continued on following page...)

thought that it was not the responsibility of the Archives to hold exhibitions, but that it was a function only of the museums.

Almost all Archives receive visiting groups from universities or schools and often, within the framework of existing teaching programmes, organise for their benefit presentations of documents which illustrate aspects of national or regional history. The preparation and direction of these visits are usually in the hands of an archivist, who will have to give up a certain amount of his working time for this purpose. Many replies insist on the need to entrust this educational role to the archivist, as he will be more familiar with the documents than a member of the teaching profession. Sometimes, as in Hungary, Czechoslovakia and France, history classes are taken by archivists.

Educational departments within the Archives exist almost only in France (and in some English county record offices). In the *Archives nationales*, where such a *département* was established in 1950, there are four secondary education teachers on full-time secondment ; it publishes reproductions and transcripts of documents on a wide variety of subjects ; it organises a competition for 'young historians', film shows, and runs a cine-club. In 1969, 17,000 pupils visited the Archives accompanied by their teachers. In the *Archives départementales* there are 48 educational departments (in other words, one out of two of these Archives) to which are assigned part-time teachers who work in close collaboration with the director of the Archives or his colleagues ; they arrange exhibitions on given subjects, most commonly regional aspects of national history. In 1969 more than 40,000 pupils visited *Archives départementales* for this purpose.

Finally it should be mentioned that the Archives are quite often asked by government departments for advice or information on matters of a cultural kind which are more or less related to their own functions.

¹ (continued from the previous page)

Hungary : 50th anniversary of the 1918 revolution ; 50th anniversary of the Republic of Councils of 1919 ; 25th anniversary of the liberation ; Georges Klapka, leader of the fight for independence in 1848-1849.

Italy : history of the Venetian lagoon (Venice) ; the Council of Trent and the catholic reformation (various repositories) ; Borromini, Piero de Cortona (Rome).

Poland : Silesia and the Piast dynasty ; the Communist Party of Poland in Kielce ; 125 years of struggle by the people of Poland for their independence ; many exhibitions to commemorate the 1000th anniversary of the Polish state.

Czechoslovakia : several exhibitions on the history of agriculture and the history of mines, etc.

Often such consultations are concerned with events which are to be commemorated. In some of the *Länder* in the Federal Republic of Germany, the Archives are consulted on all questions of municipal heraldry, on the appropriateness of changing the names of places, etc. It is the same in France, where directors of Archives or their deputies play a not unimportant part, either statutorily or by custom, in everything which is related to the history and cultural life of the district. They owe this to the fact that the *Archives départementales* is the only cultural organisation with a mandate which covers the whole *département*, while libraries and museums are normally only local services. Thus the archivist is called upon to act as cultural adviser to the *préfet* and to administrators of the *département*.

As a matter of principle it might be difficult to justify such an extension of the responsibilities of the archivist ; but in France he attaches special importance to these activities, even though they take up a lot of his time. This is because this is a function which considerably affects the influence which the Archives has in cultural matters.

All this shows clearly that the Archives, particularly at the regional and local levels, increasingly act as centres for historical research. This tendency is reinforced by the fact that in several countries, such as Germany, Belgium, France, Italy, etc., archivists are often asked to give lectures or seminars on regional history, general history or related subjects in universities and other places of higher education. It is very important to stress this fact, at a time when it seemed that the work of the Archives was developing only in the direction of administrative tasks, with some archivists seeing their future in records management activities.

A more and more noticeable split in the range of archival responsibilities is therefore becoming obvious. The late President Graswinckel has already described the situation as 'Hercules at the crossroads', a giant compelled to move forward with an even step on two roads which diverge. It remains to be seen if there really will be a parting of the ways ; but it is a fact that the Archives will only be able to face up to its future professional, administrative and cultural responsibilities if it can get a reasonable increase in staff, with no doubt an increasing degree of specialisation.

II. THE DUTIES OF THE ARCHIVIST

THE TRAINING OF PROFESSIONAL STAFF

Anyone who thinks about the professional training of archivists will be struck by the fact that, in spite of the double role of

the Archives - scholarly and administrative - and despite the need to process documents of very different ages (the earlier documents which often date back to the middle ages, and those coming from the activities of current government departments), practically all countries remained attached to a unique archival training scheme, which is based principally, if not exclusively, on an historical background. This points again to the great accuracy of the definition we have given above of Archives as institutions of a scholarly nature which have administrative functions.

Even in very large Archives which have specialised departments or sections (early, modern, contemporary, economic, private, technical, notarial, audio-visual and other archives) it is most unusual to find distinct specialist categories of professional staff. All archivists have the same basic training and only subsequently, after posting to one section or another, are they expected to specialise according to their personal aptitudes or interests. Almost all the replies agree on this point. It is regarded as essential because, even when an archivist is assigned to work on archives of a certain period or kind, he often has to take on other duties which require different skills, either at the same time as his main duty or only occasionally, as for example when there is a shortage of staff. The normal career development of an archivist also requires him to change his duties, either by moving to another Archives or to another section or other work. It is also agreed that all archivists should be equally competent to deal with problems relating to documents of different kinds and periods, and to be able to advise researchers on a wide range of matters.

Such comprehensive professional capability is normal in regional and local Archives, where over-specialisation would be regarded as harmful.

Initial training is normally given at a university, in a school or archives within a university, or in an autonomous school of archives. The last can be a school which takes pupils who have already got university qualifications (the *Archivschule* in Marburg in the Federal Republic of Germany is of this kind), or an institute of higher education where pupils get full historical and technical training at the same time as they pursue their university studies (the *Ecole nationale des chartes* in Paris is of this kind). We shall not return to these questions which have already been discussed at International level.

After this basic general training it is generally considered necessary for the young archivist to spend some time (from several months up to two years) either in several sections of an Archives or in a succession of different Archives. Particularly in the larger Archives it is possible to see here and there a growing and hardening tendency towards specialisation at too early a stage in the archivist's career ; but this is regretted by many who would like to see a greater mobility of staff, particularly of those who are in their first years as an archivist. Specialisation among professional staff is considered as normal only in countries like Israel

and Yugoslavia, whose past history has led to the existence of documents which are extremely varied in nature and written in different languages.

During the training of the archivist the emphasis is mainly on the teaching of history and related subjects. In some countries archivists were formerly recruited from the ranks of both historians and lawyers, but this is not very common today.

The consequence of this state of affairs, on which we shall not dwell further here, is that the young archivist, who is by training an historian, does not get any training in administration. He gets this 'on the job', as one of the replies states ; that is to say, by practice and experience acquired at the beginning of his career. Once he is assigned to an Archives the young archivist, who is much more knowledgeable about institutions of the past than of the present, learns something about administration from his contacts with government departments and from the files which they produce. Many consider that this experience is essential. Training courses organised by the Archives or by archive schools sometimes initiate the newcomer by visits to offices, mail rooms and registries, or by a tour of several departments in a large Archives which is responsible for contemporary archives or for pre-archival functions. Training courses are sometimes organised by the appropriate bodies such as the Public Service Commission in Canada, the Ministry of Finance in Finland or the National School for Administration in the Ivory Coast.

We believe nevertheless that there is an obvious gap in the training of the archivist of which the younger members of the profession are much more aware than those of an older generation. Those responsible for the administration of Archives must look carefully into this problem, which is much concerned with the ability of archivists to cope with the duties entrusted to them.

SUB-PROFESSIONAL STAFF

In addition to professional staff, many countries employ sub-professional staff, whose training is at a lower level (secondary education or lower grades of university studies). They are likely to be persons who have already worked in offices and who, after entry to the Archives, are given a technical training in archives administration and history. The training courses vary in content from country to country, but they all make it possible for the best students to get promotion to the higher grade. This is an important problem in many Archives ; and it is solved in various different ways.

In Hungary, officials in the intermediate grade could at one time be given a professional appointment, but this will be possible in future only if they get a university degree. It is the same

in Poland. In Roumania on the other hand (and this is one of those rare countries where this happens) archivists are normally given duties which are within their own specialisms : just as archivists with professional training teach themselves administration through their experience, so do archivists who come from government departments acquire a professional training by experience ; we would like to have more information about this system and how it is working.

In Canada, there are two groups of staff which exist side by side in the Public Archives, one is in the historical department, and the other in the department which deals with records management. At present the senior staff who direct the work on records management have had a professional training, but it is not expected that this situation will last, and it is unlikely that in future there will be much movement from one group to the other.

The situation in Great Britain is exceptional. There are two categories of staff in the Public Record Office : professional (assistant keepers) and executive officers (at sub-professional level), both having archival and administrative duties. The first are recruited at university level by a selection board, and they receive their technical training during the first two years of their service by a series of attachments to different sections. They work mostly on medieval and modern archives, in the reading rooms, and on the selection of records of permanent value ; and the senior administrative posts (Keeper of Public Records, Deputy Keeper and the Records Administration Officer) are filled from this grade. On the other hand, the executive officers are recruited by a general open competition or by promotion from the clerical grade ; but more and more they enter the grade with university qualifications, and some of exceptional quality have been promoted to the professional grade. Following a report in 1968 a study is being made into the possibility of having a single structure for the administrative, executive and clerical grades both in the Public Record Office and in the national museums and galleries.

To some extent the situation in France reflects that in England. In addition to the professional staff there is a technical staff, which is divided into several grades all recruited by competitions at different levels. Appointments to the highest grade (documentalist/archivist) are today mostly at university level ; and its members are concerned generally with contemporary documents, although they do not have the benefit of properly organised archival training. This grade cannot proceed to the professional level, as the latter is restricted to former pupils of the *Ecole des Chartes*. There is no doubt that this is a problem which will have to be solved in the coming years, and several possible solutions can be considered.

Similarly in the Federal Republic of Germany the professional (*höherer Dienst*) and technical (*gehobener Dienst*) grades are separate, but both receive training at the School of Archives at Marburg (at Munich for professional staff in Bavaria). In the Federal Ar-

chives it is possible for staff to be transferred from one category to another after theoretical and practical training followed by examination, but this is exceptional.

In the Netherlands there is a distinction between archivists of a higher grade who enter the Archives with a university degree and after an examination, and those of a lower grade who are appointed after secondary education followed by an examination; preparation for the latter is mainly in the State School of Archives. This grade can pass to the higher category after undergoing university education and passing an examination. There are several examples of professional archivists who have followed this second path, including the present Director-General, Mr. R. Ribberink and his predecessor, Mr. Van der Gouw.

We have looked into this question of the staffing of Archives at some length because the development of archival functions is bound to have powerful repercussions on training.

As the Archives becomes more and more concerned with contemporary records, including business archives and documents of a technical nature, it will soon be necessary to introduce a new area of specialisation. It will without doubt be essential to continue to give a general basic training, in which the core of the syllabus is a knowledge of history and technical matters, followed by the teaching of special subjects. The two parts of the training to be considered will be therefore : first, medieval and modern history, with the usual related subjects ; and second, contemporary history and institutions, with an introduction to statistics and computers.

For can we continue to expect all archivists, at least in Western and Central Europe, to have a thorough knowledge of Latin and a special skill in palaeography, diplomacy and philology, when the greatest part of the career of most of them will be spent working on documents of the last half century or even the last decade, and when a thorough understanding of the techniques of contemporary history is essential ? This might suppose the existence in the largest Archives of two separate groups of staff each with distinct professional training ; but this raises the closely related problem of movement from one group to the other, and particularly of career prospects, in view of the need for many smaller Archives to have archivists who can perform a wide range of duties.

We believe that in many countries it is impossible not to face up to this question soon ; and it would be useful to have an exchange of views on the subject during the present conference.

THE ARCHIVIST AND HISTORICAL RESEARCH

Some replies have emphasised that all the activities of the archivist are basically of a scholarly kind, and that everything the

Archives publishes (guides, inventories, lists and texts) contributes to history in the same way as any historical studies or monographs. It is therefore considered impossible to separate those activities of an archivist which are purely archival in kind from those which could be described as historical research. That is the sense of the replies from Italy and Sweden.

Others have commented that it would be more correct to distinguish between those elements of the archivist's work which are purely archival and those which are related to research for the public, for government departments, for exhibitions, etc. We do not share this opinion.

It is in fact wrong to regard the whole of archival work as 'historical research'. The professional work of the archivist (preparation of transfers, selection of documents for preservation, arrangement, description, etc.) is usually distinguished from those of his activities which are properly described as 'historical' and involve the use of archives for political, administrative, economic, social or religious history, or for related subjects. There is no need to propose that one of these activities should have greater priority than another ; but it seems important to decide whether or not the archivist should have the right, or the possibility, to spend some of his working time doing research (described by some as 'personal research'), or whether his time-table should allow regular time (parts of a day, certain days of the week, etc.) for his own research, particularly if it is necessary for him to work in libraries.

Our opinion is that the archivist has not only the right but the duty to act as an historian. We believe that he cannot perform his professional duties satisfactorily unless he uses the documents himself as an historian. Only in that way can he keep in touch with historical problems, follow the development and advancement of history, and understand the needs and problems of the users of archives. In regional and local Archives he can in this way also make himself familiar with the various facets of regional history. He cannot give advice to students and searchers if he does not combine his experience as an archivist with his knowledge of history. Is it too much to suggest that he will have all the more authority and prestige both in the public service and in the academic world than if he had ceased his historical work after he had finished his training ? He will be especially esteemed if he has written authoritative works, if he is involved in the national or regional historical world, if he becomes known as the discoverer of documents and the organiser of learned societies or other centres for historical research. Perhaps some will deplore this, but we believe that it is impossible to over-emphasise the fact that this aspect of the work of the archivist is as essential as his official duties.

Moreover, this is recognised by the directors of Archives in several countries where archivists are encouraged to get involved in such work (Germany, Belgium, Great Britain, etc.). They often

regret, however, that the increasing number of other tasks which have to be performed, combined with what is sometimes a serious shortage of staff, reduces the amount of research work carried out by archivists. The situation is particularly difficult for the heads of some smaller Archives who are often the only professionals on the staff, and who find that they are more and more completely absorbed in other duties. It is often the same with the directors of the larger national and regional Archives who are forced to devote an increasing part of their efforts, if not all of them, to administration. It is in fact those archivists in central, national or provincial archives with no administrative duties who can devote an appreciable amount of time to research.

This situation is much resented by the professional staff of the Archives who did not choose this career, which is generally not so well paid as teaching or administration, in order to sort dead files of modern government departments or to manage a repository, but rather in order to follow their vocation as an historian. Work on processing archives does not as a rule completely satisfy the passion for research which young archivists so often have. In some cases this leads to a gradual acceptance of the situation, but in others only to a desire to leave the Archives and move on to a university where it will be possible to devote time to historical research. We shall examine this problem further.

The present situation may seem rather exceptional in that archivists have been fully trained as historians, receiving the same education as historians in universities and research centres, and have had still more years of study for the archives profession, often with a difficult examination. The work-load of their various duties then prevents them from using properly all their accumulated knowledge ; and this can only be regarded as a loss to the advancement of historical knowledge. This is a problem which we have to consider here.

The managements of Archives do everything in their power to make it possible for their professional staff to carry out research when it does not conflict with their other duties. It is obvious that in some countries there is much more time available in some Archives than in others, and even for staff in the same Archives with different duties to perform ; and it is not possible to give an average time spent by the archivist on research work.

The following table, which merely gives a few examples from some countries, distinguishes between :

1. proper archival work : selection, arrangement, listing, etc.
2. para-archival work : dealing with the public, committees, editing journals, assisting the director in managing the Archives, etc.
3. research work.

	1	2	3
Austria	75%	15%	10%
Belgium		65%	35%
Cameroon	50%	25%	25%
Canada (Public Archives)	75%	20%	5%
Czechoslovakia : Bohemia		60-80%	20-40%
Slovakia	65%	10%	25%
Germany (Federal Republic)	60-65%	15%	20-35% ¹
Hungary	33%	33%	33%
Ivory Coast	40%	40%	20%
Netherlands	50%	15%	35%
Poland	40%	45%	15%
Switzerland (Archives of Cantons)	60-80%	20%	0-20%

Archivists in the *Archives nationales* and other archive establishments in France have to work on official work for 30 hours a week, which allows them to spend 28% of the working week of 42 hours on their own work. But the situation is quite different in the provinces where the directors of archive services have great difficulty in finding time (0 to 20%) for their own work, although their assistants can more easily undertake such activities.

In Belgium the time-table of archivists for their official work is for only 33 hours a week, for the same reason as in the *Archives nationales* in France ; but the time they can spend on their own research is brought up to as much as 50% of the working week, as they are also allowed to take up to 12 hours a week from the time allocated for official work.

In Italy the working week of archivists similarly allows them to do research if they wish. In Finland one hour a day is allowed for private work (about 13%). In Baden-Wurtemberg one afternoon a week is allowed (10%). In Slovakia 15% is allowed for research and 10% for the study of technical and historical literature.

In some countries the academic research work of archivists is included in the work-programme of the Archives. This makes it possible for work whose value has been recognised to be done in some, or perhaps even all, of the archivist's official time. This is particularly so in Poland and Yugoslavia. In Poland, if the subject of a piece of research is closely related to archival work and is of obvious interest to the Archives, it can become

¹ 20% in Schleswig-Holstein ; 30% in North Rhine Westphalia ; 30-35% in Lower Saxony, Rhineland Palatinate, Hamburg. In Bavaria only with proper authorization. In the Federal Archives, the need to establish a new archive and the heavy work load have made it very difficult for archivists to carry out any scientific research ; in the future they will be given facilities to conduct such research on a rota basis.

part of the official work-programme ; if the subject is of less interest to the Archives, permission can still be given for the archivist to work on it for up to two months a year. Moreover, for some studies, particularly for the preparation of a thesis for a doctorate, archivists can be granted paid leave for 28 days in a year, according to a decree of 25 July 1967.

Whatever may be the official position of the Archives in regard to academic work by staff, almost everywhere archivists are allowed to participate during working hours in conferences or professional meetings, on condition that they first obtain permission from their superiors. It is even more common in such cases for archival authorities to allow travel and subsistence expenses for both home and overseas journeys for archivists who are acting as official representatives.

On the other hand, it is unusual for archivists to be given paid leave or travelling expenses in order to allow them to pursue their private studies ; this only happens when those studies are of essential value to the Archives. In most countries archivists had applied for unpaid leave for one month or two ; but in such cases their salary or their travel and subsistence expenses were being paid for by a foundation or a research centre.

It is always important to ensure that academic research by the archivist is regarded as a normal activity which follows both from his vocation as an archivist and his training as an historian. This should therefore be taken into account in his career development ; and this happens in most countries, either as a matter of right or of practice.

ARCHIVISTS AND HIGHER EDUCATION

In all countries where it is regarded as important for dedicated archivists to carry out high quality research and to become well-known in their specialised field, it is considered normal to allow them to give courses or seminars in universities and other places of higher education. It is obvious that by this means the most qualified archivists can become more generally involved in the historical world and can give more help to students as a result of their experience and their first-hand knowledge of archival sources.

In only a few of the countries which answered the questionnaire were there no archivists who were involved in education, and some of these said that the regulations in force did not make it possible to give permission for this ; that is the case in Australia, Cameroon, Dahomey, Greece, Malaysia and the Democratic Republic of Germany.

On the other hand, 10% of the archivists in the Federal Republic of Germany, 10 archivists in Austria, 5 out of 66 archivists in

Belgium, about 30 in France, 31 in Italy (*liberi docenti, professori incaricati, professori onorari*), 2 state archivists and 3 municipal archivists in the Netherlands, 4 in Roumania, 3 in Sweden, 4 in Switzerland, from 10 to 15 in Bohemia and 3 in Slovakia, an imprecise number in Yugoslavia, teach a wide range of subjects in universities and institutes of higher education: general history of the medieval, modern and contemporary periods, regional history, administrative history, economic history, historical methodology, medieval latin, palaeography and diplomatics, etc.

Elsewhere there are fewer archivists involved in education: 2 in Finland, 1 in the Public Record Office in London, from 1 to 3 in Hungary, 1 in Norway, etc.

To these should be added archivists who are responsible for archives courses or conferences in universities or schools of archives: Federal Republic of Germany (archive schools at Marburg and Munich), France (national and international stages *des archives*), Great Britain (3 members of the Public Record Office are lecturers at the School of Librarianship and Archives in the University of London), Hungary, Israel (7 at the Hebrew University), Italy (regional schools of archives, palaeography and diplomatics), Poland (5).

Legislation or university statutes usually forbid plurality, and it is therefore not possible to hold a chair in a university in addition to other posts. Consequently it is always in the capacity of lecturer, reader, *Privatdozent*, etc., that an archivist can teach in higher educational establishments. In the Netherlands nevertheless it is worth noting that State Archivist Dr. Meilink is professor of Indonesian History in the University of Leiden.

There is therefore a strong temptation for archivists who already hold courses in universities to give up their career in the Archives to take up a full-time post in a university. In some countries there is a fairly considerable wastage of archivists, particularly the most capable, who take up posts in higher education in order to gain some advantages: a salary which is often much higher, greater prestige, the possibility of teaching students, and above all the much better opportunities for research and for publishing the results. This fact is noted by Germany, Israel, Belgium and Italy; and in the last two countries some emphasis is given to the fact that some of the better historians in the universities were at one time career archivists. In France, 20 archivists have left over the past 20 years to take up appointments in higher education (8 to faculties of arts, 2 to faculties of law, 5 to the *Ecole des hautes études* and 5 to the *Ecole des Chartes*; five of them are today most senior members or presidents of their establishments.

This loss of archivists from the profession may be a matter for criticism, but not for surprise, nor, *a fortiori*, for concern. It only points in a most revealing way to the close bonds which unite the Archives, higher education and historical research; it is no more than a logical step in fulfilling the ambition which an archi-

vist had begun to realise in a career in archives, which, by definition, is dedicated to the service of history.

THE DUTIES OF A DIRECTOR OF ARCHIVES

Until now we have mainly considered the Archives as an institution ; but it is important not to confuse the repository itself with the archives service as a whole. The responsibilities of the director are not confined to the administration of the repository of which he is in charge ; and in this respect they are unlike those of the keeper of a museum or the dean of a university faculty. His responsibilities make him an integral part of the administrative structure.

In most countries (except where there is a federal structure) there is a director-general of archives who is responsible for the whole network of central and regional archives and who has the power to control or inspect the records of local authorities. When the director has no authority over the network of local archives (as, for example, in England), he still has responsibility for the preservation of archives of the whole range of government departments ; in London one of the Keeper's staff is responsible for coordination with those local authorities authorised to have custody of public records.

Similarly the directors of the Archives of regions or *départements* have control of the archives of the various administrative agencies within their jurisdiction, and generally a right of inspection of the archives of local authorities (Austria, Belgium, Cameroon, Ivory Coast, Dahomey, Finland, France, Greece, Hungary, Norway, Netherlands, Poland, Sweden, Swiss cantons, Czechoslovakia). There are few countries where such inspection is not the responsibility of the directors (Germany, Australia, Canada, Great Britain, some of the republics of Yugoslavia).

In Italy there are two parallel archives services : the 94 directors of State Archives, who are in charge of their archive establishments and have control over the records created by State services, and the eighteen regional superintendents who are responsible for the archives of other administrative agencies and private archives. In Belgium and the Netherlands there is a similar supervision (central or provincial) of local archives.

All directors have great responsibilities for the management of their own organization ; they draw up the budget and are generally responsible for expenditure and financial management, subject to administrative and financial control from the authorities to which they are themselves responsible. However, in some countries where the directors of State Archives have only a small budget, the main financial control comes from the central Archives directorates ; such is the case in Belgium and Italy.

The directors also appoint and promote staff, subject to the advice of the appropriate commissions, or at least make proposals to higher authority (except in Great Britain, where appointments are made by the Civil Service Commission, as in Dahomey).

But in most countries the directors of Archives do not confine themselves to the management of their own establishments, to the inspections they have to make, and services which are often attached to them (departmental library, documentation centre, etc.). They also take part, either in their personal capacity or *ex officio*, in the work of various committees, thus adding to the cultural influence exerted by the Archives and its representative. This applies particularly to directors-general, but it is also often true of regional directors.

This is a prominent feature of the Archives in France, where it considerably exceeds what other countries would consider to be the normal extent of the duties of the Archives. Thus the director of an *Archives départementales* participates in committees on town planning, the protection of sites, tourism (some of them acting as chairmen of these bodies) ; he sometimes coordinates the work of the General Register of Monuments and Art Treasures, and those of other services for which the Ministry of Culture is responsible ; he often serves on management committees for libraries and museums; he has an interest in archaeological excavations and is often responsible for the preservation of antiquities and *objets d'art* in his *département*, as well as many other things which are additional to his normal duties.

In all countries such cultural tasks take up an increasingly substantial amount of the time of directors of Archives. In spite of having often to work longer hours than their staff, they are now reaching the position where they can spend only a small amount of time on proper archival activities, and sometimes they have to neglect them completely. Management of the Archives and general administrative duties take from 40% of the working hours in some countries to 90% in others, with various duties of a cultural nature taking up to 20%.

In smaller Archives, where the director has no archivists as colleagues, professional work obviously has to suffer ; in France, for example, he can at best devote only a quarter of his time to them. In larger establishments some of his time is spent on directing the activities of his colleagues and advising them in their work. Another result is that the academic work of directors is considerably reduced from the day they are appointed, and, while in a few countries (Germany, Austria, Belgium) they can still spend about 20% of their time on such work, others frequently have to abandon it altogether.

One of the most serious problems met in several countries is the great shortage of staff, whose numbers have not expanded to meet the increase in responsibilities. This is probably the greatest problem which exists today ; and it will determine the way in

which Archives will be able to meet their many obligations in future years.

We have reviewed the various tasks for which the Archives are responsible. We have not dealt with many others, such as collaboration with learned societies and the publication of historical journals. It will have been apparent that in many countries there has been a very noticeable growth in the functions of the Archives and the duties of the archivist. New responsibilities for contemporary papers have made a greater contribution to this growth. We apologise for having taken it upon ourselves to emphasise what we see as the serious consequences of all this, and to give opinions or draw conclusions which are entirely our own ; but we regard this as part of our duty as *rapporteur*.

It is particularly important to stress the way in which the Archives in all countries are developing along two parallel paths. The archives profession today is very different from formerly, and Sir Hilary Jenkinson was certainly right when, about twenty years ago, he entitled his inaugural address on the training of archivists : 'A New Profession', although at that time it caused smiles. It is indeed today a new profession in all countries, even if it is built on traditional elements ; and moreover it will be called upon to change more rapidly in the coming years. But it is essential to remember that whatever professional functions the archivist will be expected to perform, he should never forget that he is an historian, with a duty to serve history.

CENTRAL AND LOCAL ARCHIVES SERVICES AND SOCIETY

by
MICHAEL COOK¹

The success of an archives programme depends on the equal discharge of its two functions: the administrative, in which it faces towards, is used and judged by, the administrators of its employing authority; and the research, in which it faces towards, is used and judged by, the world of scholarship. These two functions are interdependent, and the second, though it has primacy in the sense that the overall purpose of an archives service must in the end be defined in terms of its value to research and reference, still depends upon the first for the provision of material. An archives service is a research structure built upon a management framework. For both functions to be properly exercised, the archives office needs to be part of an organisation which recognises both, which allows it to operate as it should in both spheres as an administrative common service and as a research institute.

Nevertheless, society at large must regard an archives office as one of its cultural institutions, and it is not to be blamed if it attaches labels such as 'cultural', 'amenity' or even 'leisure' to it. Archives offices, like museums or reference libraries have a more serious purpose than have institutions which are purely recreational, but they share with them the characteristic that they are set up by society as places where individuals can go, if they wish and are free, to follow up personal interests. Research is vital to society — vital to its planning and government in modern conditions, but also vital as a 'leisure' activity, a complex of personal interests. Nor must the word 'research' be narrowly defined. The dissemination of an historical sense, of an interest in ancestors and past experience, is essential to the health of modern societies, dominated as they are by the buildings and apparatus of the late 20th century. Archives offices have an unavoidable place in this, and should not despise their essential companionship with the other institutions devoted to information, reference and learning.

The essential nature of an archives office as a cultural institution is most clearly seen in a developing country, where the enormous complexity and variety of specialised institutions evident in many developed countries does not obscure the view. A country which has had to set up for itself the major cultural (and administrative) structures in the last few decades will demonstrate what these structures are in their simplicity. In a developing country, the National Archives will form part of a group of four linked or parallel services, the others being the National Library, the National Museum and the National Documentation Centre. Each of these has a strongly individual character and an individual programme of service and expansion. The National Library will, like the archives, have two contrasting sides to it, the research/reference side and the public amenity side. It will probably have a plan for provincial or branch services, and it will relate to many other organisations: government departments for the provision of technical libraries; universities; the education system, for the provision of school libraries; city administration and so forth. The National Museum, similarly, will develop relationships and programmes: specialist services, provincial branches, the education service, universities, ongoing research. The Documentation Centre relates to government, universities, education, research and industry. Among these, the National Archives is entirely in place, managing and concentrating the archives of government, developing their use in universities, the

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education service, research institutes and among the public. It too, will probably be considering a programme for provincial extensions and for promoting research.²

In some countries it is possible to see at least three of these four — the Museum, Library and Archives — occupy buildings in a common precinct. The value of such a concentration is at once obvious from the point of view of society at large. The user of these services, whether he is a professional researcher, an enthusiastic amateur, or a teacher looking for classroom aids, will test their efficiency by one set of criteria: the information they present to him and the facilities they offer it in. In making his judgements, the user will consider, on the one hand, the contents or holdings of the institution, and the way in which they are made accessible by finding aids and explanatory information; and on the other hand, the comfort and convenience of the accommodation, the opening hours, the attitude of the staff, the efficacy of relationships between the various research institutions. In all of these matters each service is capable of reducing its value to society by poor performance. In the archives, each point is of crucial importance.

The archives must contain, in fact, all the principal archives of the nation.³ It must receive custody of every document or record series that is not current, and that is of importance — no matter how secret, no matter how sensitive, no matter how 'important'. That is what archives services are for, to hold and manage important documents. The principle is just as true for local or private archives offices as it is for national ones.

The holdings of a national archives then must be as complete as possible. But while a library may attempt completeness in its holdings by its buying policy, and a documentation centre essentially depends on thoroughness of acquisition within its subject area, and archives office cannot achieve completeness of documentation in the same sense. It can and should accept as an objective the acquisition of important records arising from every aspect of its government's activity, and it can also if it wishes extend the range of information it holds by acquiring complementary records from elsewhere. But in the last resort, whether or not it holds documentary evidence on a given subject, depends on whether that subject has ever been dealt with by its employing authority or its source. The same limitation applies, *mutatis mutandis*, to the holdings of a museum service. The user of these services, in pursuit of some area of knowledge, is likely to come up against the limitations of the holdings. To overcome these limitations, he will turn to other sources: from the archives he will go to the library, or to the museum, or *vice versa*. As material for reference or research, the holdings of all the cultural institutions are interdependent. Where teaching is undertaken, or the fostering of studies by display or promotion, these limitations still exist, and the same interdependence is of vital importance. The meaning of this for society is clear. It has a right to expect complete co-operation between all its reference services, co-operation which ought to spring from their financing and control, and from the attitudes and training of their staff. Each institution should and must retain its individual character, and do its special work. For this it must have the proper government, powers and resources. But all the reference institutions must also, in a real sense, form a common resource of society. They must visibly work together, use their material together, regard themselves as one.

²These observations are based upon a comparative study of East Africa and Southeast Asia. No one country demonstrates a classic relationship between all four institutions, but taken overall the character of each service can be seen. All are within the purview of the Department of Documentation, Libraries and Archives of UNESCO. There are of course other parallel services which have sometimes developed independently, such as film archives and libraries, audiovisual centres, national archaeological services and so forth.

³S. Carbone and R. Guezze. *Draft model law on archives: description and text*. UNESCO, Paris, 1972, pp. 128-9.

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The planning of public services and access areas — searchrooms in the case of the archives — must be done in the light of what facilities are given elsewhere. Equally the planning of finding aids and research instruments — the handling of information leading to the use of materials — should also be undertaken, if possible, in common, and access points to such information duplication. Hours of opening are of great concern to the user. Extensive hours of opening depend on numbers of staff; but this staff may well be available to a common service where it is not to an independent one. Many other technical services in support of users' needs are subject to the same limitation, and may possibly be provided in common where they are not possible in isolation: photographic services, conservation services, printing and publishing services, display and educational services; and the promotion of research by the appointment of internal research units.

Whether the national cultural institutions are planned as distinct units or whether they are planned as linked services, they equally depend on the adequacy of the resources allocated to them by the nation. They depend also on the effectiveness with which they can express their needs and obtain recognition for their policies at high level. For these reasons, the government and control of national cultural institutions is of concern to society. They should be the responsibility of appropriate bodies or persons in government: essentially a minister and his department. It would be hard to argue against the proposition that the major national cultural institutions would constitute a sufficient portfolio for at least a ministerial department or agency. In determining what this agency should be, some additional decisions should be made about the general objectives of the archives and other cultural services. A possible choice, for example, is that between *information*, and *historical sciences*. If the archives are seen primarily as a component in the nation's information services, then the ministerial structures will tend to be those concerned with common services, information management and documentation. If the archives are seen primarily as an element in developing the nation's resources of historical research material, the control structures will be aimed further towards the educational sector and will be concerned with bringing together museum, archaeological and other research activities.⁴ The choice would be a difficult one to make, and any control structure should be loose enough to allow the archives, like the parallel services, to express its own individuality and development.⁵ But it should be definite enough to allow for common use of resources, common facilities and common planning. The planning element should avoid the risk of subordinating one part of the whole programme to another, and depressing one group of workers in relation to the rest.

In the past it has been found that co-operation between professionals in the different services — museums, libraries, archives — has been difficult to bring about, and that many have resisted it. In part this has been the natural result of the conditions of work in the early days of development — for all these services, on their modern scale at least, have been rapidly developing and forming new attitudes in the last two decades: they are effectively new services. In the early days of a new development, the staff are occupied in solving the initial problems, getting together the basic material, establishing control over it, educating their public, acquiring a career structure and a structure of control. During this phase there is no pressing demand for co-operation outside each immediate professional group. But in part too, lack of co-operation and even mutual hostility have been caused by competition for resources, and by the subordination, in some circumstances, of one group to another. This subordination, or the threat of it, has been an important reason for the generally poor relationship

⁴An excellent example is that of the Historical Resources Administration, New Brunswick (Canada). I am indebted to the former Provincial Archivist, Mr. H. A. Taylor.

⁵For an agreed recommendation on these points, see 'Archive policy for French-speaking African countries', *UNESCO Bulletin for Libraries* 26 (1972), pp. 84-87, 96.

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between archivists and librarians. Viewed from the viewpoint of society at large, of the user public, the distinction between libraries and archives is sometimes a thin one. Archives contain books, libraries contain papers, subject investigations are likely to cover both. Despite this it is clear that library and archive services have distinct objectives and methods, must have distinct programmes, facilities and resources, must have staff trained on different principles, and must have different internal management structures appropriate to their function. With these each must of course have proper and satisfying career opportunities to offer their staff. Not until this is done will it be possible to overcome the difficulties and barriers generated by the jealousies and fears of different professional groups. Petty as these questions seem, they do account for failures in many cultural services in many parts of the world, and they must be taken seriously.

Many of the cultural services mentioned in this discussion are, by the standards of most public institutions, small. Size is of great importance in establishing the character and effectiveness of a service. This is more obvious at levels other than the national, for everyone can see that the National Archives itself, working with the central government and with an established clientele of users, is a viable institution. Still, by the standards of the other government services, such as defence, education, public health, the resources needed are minute, the numbers tiny. This does not mean that they do not have their measurable importance, but it is a difficulty when it comes to allowing for the specialisms which modern society is inexorably creating. For the time has past when, in most countries anyway, a single national institution will suffice to discharge all aspects of its service. Museums, libraries, documentation, archives, are all subject to division on specialist lines.

Specialist collections, of books, objects, technical documents, archives, grow up either on the basis of their form, or on the basis of a subject. Collections based on form are particularly a feature of the archives scene, although they occur also in the field of art and museums. The most obvious developments in this area have been film archives, and it has been recognised in most countries - in Britain it was recommended by the Grigg Committee in 1954^{*} - that both film and audio-visual material should be held and managed by specialist archives services. Film archives demand greater technical resources than ordinary ones. Not only do the films themselves demand higher standards of storage and much equipment for restoration and repair, but they can only be 'read' on expensive equipment. However public recognition of the value of the archive offsets this extra expense, and archive film reaches the general public in a way that ordinary archives can never ordinarily hope to do. The future growth of film and audio archives, as the disciplines of contemporary history and the collection of oral evidence develop, are assured. The growth of specialist archives based upon subject is likely to be even more spectacular. There are two kinds of these.

The first kind are artificially created collections on a predetermined subject. Specialist collections have been assembled in Britain in recent years upon subjects such as military or naval history, politics, social administration, educational history, agricultural history, publishing, the theatre, folklore, and upon other subjects. In many cases these collections are centred upon universities and are an extension of the long-standing practice of university and other libraries to fix upon a subject on which they will collect material. There are several specialist national institutions as well, however, and among the whole number of specialist collections it is possible to discern two types: those which collect original materials and those which have opted to become 'centres of documentation'. In the latter the custody of original material,

^{*}Report of the Committee on Departmental Records. HMSO (Cmd 9163), 1954, section 228.

whether archival or otherwise, is not sought, but instead a library of microfilm or other copies, backed by lists and indexes of material held elsewhere, or by published descriptions of it, is built up. The appearance of the second type of collection has gone far to allay the suspicions of museum workers and archivists, for both have suffered from the rivalry of the specialist collectors, and both have been concerned to protect the integrity of series or groups of archives or artefacts arising within their areas. But where an industry, a scientific field of inquiry or a technical invention are concerned, there is indeed a strong case for building up a research collection based upon the original process or institution. As with all other archives, the handling of the material must conform to good professional practice. But professional practice does or should not distinguish between archives (or other) services which are based upon the administration of a territorial area and those which are based upon an industry or specialist institution. What is required is that the material should be properly handled, and that there should be adequate resources in staff and accommodation. To ensure that this is so, it is desirable that there should be some degree of co-ordination in the setting up of new specialist collections, that there should be a means of centralising information about them, and that there should be nationally recognised standards to which they should conform.

One of the most important developments in the world of the cultural institutions internationally, has been the invention and rapid growth of the 'Presidential Library'. Already an important feature of American life, these Presidential Libraries are in fact combinations of library, archives, documentation and museum, devoted to the study of a particular president, his associates and policies, and the period in which he lived. Based initially upon the president's own personal archives, possessions and collections, these institutions deserve, perhaps, the name 'archives' rather than 'library', although they have, by systematic collection outside the original nucleus of papers, books and objects, accepted some of the objectives of both libraries and documentation centres. Since it has always been one of the objectives, though perhaps unstated, of an archives office to include an element at least of systematic documentation, the Presidential Library would seem to have realised one of the latent ideals of archives institutions. The main defect, in these cases, is that each Presidential Library limits its work to one particular presidential period, leaving later ones to new Presidential Libraries. The Libraries relate to the National Archives, and have a constitutional link with the archives service, since the national archives contains the continuous official record of government, in which the president in question was but a passing episode. But in some countries there is already evident a tendency to set up institutions on the same lines as the Presidential Libraries, but based instead upon the archives and other possessions of eminent individuals. In these cases, the link with the national archives is more tenuous. The value to society of such private foundations must be assessed as rigorously as that of the specialist collections. The criteria for judgement are: are they professionally managed? Are the resources adequate? Is the disadvantage to the user public from having to visit separate institutions in the course of research outweighed by the value and good organisation of the special collection??

The continued development of centres of documentation on particular subjects does not remove the need for one overall archival centre of documentation for the nation, a place where documents about, or information on, archive holdings is concerned. In Britain, this is the responsibility of the Royal Commission on Historical Manuscripts, which maintains the National Register of Archives. The National Register, holding lists and reports from archival institutions or from private individuals about the whereabouts and content of archives, is a specialised documentation centre, and its operations resemble those of scientific documentation. Its special field of activity

²For example, A. J. P. Taylor 'The Beaverbrook Library'. *History* 59 (1974) pp. 47-54.

is ensuring that its information is as complete as circumstances allow, and developing the technical means of access to that information. Indexing, compilation of sectional lists and provision of guidance to inquiries, are its daily responsibilities. It is in fact one of the complex of common services between reference institutions which must inevitably appear to complete their work.

In all that has been said so far, on the subject of national cultural institutions, both general and specialised, it has been assumed that they will be supported by a network of local cultural institutions which have a similar general appearance. The principal provincial divisions of a nation should possess at least the common trio of library, museum and archives. The functions of these in their societies are different from those of the national institutions because of their relative accessibility and because of their importance to actual communities rather than to the general amenities of the nation. They will of course be closer to the non-specialist public, and the use made of them, determined of course by their contents, will be more domestic and local, and, although they too will provide for professional researchers, less devoted to purely academic research. Otherwise they will display the same characteristics, relationships and functions as the national institutions of the same kind. All will be divided between technical (or administrative), reference and amenity functions; all will relate to educational services, all will tend to be used by the same pool of educated users, who will express judgements on the facilities they offer and the attitudes of their staff. But, as at national level, each cultural institution has essentially its own character, its own problems and its own system for the solution of these problems. Each must have its own establishment, its own objectives and programmes, and the proper resources with which to carry these out. If they do not have these essential requirements, the service will fail, and society will recognise this failure. One of the ways in which they can also fail is in effective co-operation and common working with one another. There can be little doubt that as far as society at large is concerned, the ideal must be an interlinked and co-operating cultural service: common, with planned interdependence, but with effective, different and equal component parts.

A particular problem of provincial or local services is that of size. Smaller areas are closest to the public, and represent what people see as their community, and are within easy reach for visits. Larger areas have greater resources and powers, but are centred at places not always convenient to visit. These two levels are continued and indeed made more distinct in the major urban areas: for example in Britain, the Metropolitan Counties and the Greater London Council have large areas and great resources, but the Metropolitan Districts and London Boroughs with smaller areas and more restricted resources are more nearly accessible to the local population. Here the essentially Janus-faced character of archive work is complicated by a second dichotomy of function. For the local archives service this second doubt is acute, and must be resolved. On the one hand, archive services need adequate resources, and, in view of the size and nature of these services, these can only be provided by an employing authority of maximum size. A small and poor authority cannot afford to take resources from its major commitments, and allocate them to what may be perceived as small and peripheral works; and if it did so, it would find its investment uneconomic. There is a minimum size for an archives service: it needs storage in quantity, access facilities to a good standard, an active programme, offices, conservation facilities, and staff for all this. In terms of return as well as in terms of practical possibilities, all these can only be provided by larger, richer authorities. From this point of view, archives services should only, in general, be attempted by the highest tier of local government. But on the other hand, the holdings of local archives offices being based upon the archives of local government itself and on the collections of locally created archives of non-official origin, are essentially material for local studies. One of their most important functions is the fostering of these local studies,

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and from society's point of view the value of such studies is considerable. The need for deepening the roots of an historical sense in the community is undeniable and the development of such subjects as environmental studies in education is one of the manifestations of it. From this point of view, an archives office should be as accessible and as local as possible, and should be attached to the lower tier of local government. One further consideration is that the holdings and sphere of action of a local archives service should be readily comprehensible to the user public: the holdings of the office should as far as possible relate to the area it serves, and should be as complete and as unrivalled an accumulation of material as is possible. Once again, the public will be very ready to judge on this point, and users will not wish to visit several institutions in the course of any inquiry.

The dilemma posed above, between the local and poor and the regional and (relatively) rich, is easily resolved in some places where the unit of population (the city) corresponds closely to the historic community. Ancient cities with large accumulations of archives and a relatively great historical awareness (and where indeed the exploitation of this awareness may be an important industry) are likely to retain and develop adequate archives services even where they do not also happen to be the main units of local government. But elsewhere the situation is not so happy, and industrial countries, have many areas which are not closely related physically to the historical centres, but which are distinctively urban and which (of course) have large accumulations of archives. We are also approaching a general realisation, which for long did not exist, that the new towns of the post-industrial age are themselves 'historic', and that their history, from the late nineteenth century to the present day is not only worthy of the attention of researchers but is in a sense vital to their survival as communities.⁸

The dilemma of the local archives service must be resolved by introducing some distinctions between the components of the service itself, and by blurring some of the distinctions which are traditional between the archives and other cultural services.

The local archives services are divisible into five components, each dependent on the other, but each capable of separate siting and operation within a planned scheme.

(a) *Records Management.* Each unit of local government needs to manage its records. Only the largest authorities will be able to employ professionals for this job, and here the larger authorities should use their professional resources and their greater organisation to provide advisory services. The overall objective is to see that proper documentation is retained in usable form and eventually passed into archival conditions where again it is in usable form. Advice and supervision from the large authorities, backed in some cases by agency agreements and concurrent working, can be used to solve this problem in the smaller authorities, just as in central government the staff of the National Archives exercises oversight and gives advice in organisations subordinate to the central ministries.

(b) *Collection of non-official archives.* The survey of private archives and their acceptance in appropriate cases on deposit has always been one of the most important functions of local archives services. This part of the service is one of the 'local' ones, and depends indeed on a close knowledge by the archivist of the locality and the principal personalities in it. Provided that resources are available, the survey and (where possible) acquisition of private archives of local interest, is best carried on at the most local level possible. However, it is certainly possible to centralise this also

⁸H. J. Dyos, 'The records of the recent urban past: the threat and the opportunity'. *Archives* 11 No. 49 (1973), 19-26.

at the higher level, particularly where rural areas are concerned. This function of the local archives service can therefore be planned at whatever level of local government appears to offer the proper resources.

(c) *Storage.* It is clear that storage is the problem most likely to be solved by *ad hoc* arrangements in any case. Even where (and this is not usual) a local archives service is given a specially designed building, it may still be decided, on the economic of the question, to divide the holdings between central and decentralised storage areas. In urban areas at least, it will usually be desirable to avoid undertaking the great financial burden (with associated traffic problems) of large central storage, and to seek to keep as many archives and records as possible away from the high-cost and most congested areas; particularly since these areas will be the most polluted. It follows that, provided the problems of handling records — transferring them from active use, retrieving them for information, producing them for consultation — can be adequately solved, the place where archives are stored can be selected to fit local situations. Here there is the possibility of dividing storage between the larger and smaller authorities as resources and convenience allow. Storage areas must however be planned in relation to the following:

(d) *Access and reference facilities.* Administrative reference is one of the problems of records management. Otherwise, access to archives for purpose of research, reference, or for any cultural or educational purpose, will normally be most clearly expressed at local level. Local studies will be organised at community level, just as are schools and teachers' centres. There is one exception to this, however, which is well illustrated by national specialist collections: where a collection of material is very complete and very well organised, it is generally thought well worth the trouble to travel some distance to visit it. However in general one may accept that access facilities to local archives ought to be as near the centres of population as possible, especially since it is there too that the cultural institutions (especially libraries) are sited. Provided that access facilities can be suitably linked to the storage areas that serve them, this solution might be adopted.

(e) *Conservation and repair.* This is one of the central functions, which can only be properly undertaken by an authority which can afford to provide a workshop which conforms to national standards, and trained specialists to man it. This has been recognised in the past; negatively by those many urban authorities which have attempted to provide some kind of archive service but have omitted the important repair section from it; positively by those few authorities which have agreed to co-operate in providing or running a conservation workshop jointly. A conservation service run jointly by two or more local authorities, or a conservation unit run by one larger authority for use by other smaller authorities, are both practical possibilities. The workshop and its staff will be planned upon an adequate scale, and can be situated in a low-cost area convenient for the necessary transport but away from the congestion and expense of city-centres. Payment of staff, or payment for work done, can be allocated proportionately to the needs and requirements of each participating authority.

Apart from the five functions mentioned, it is also necessary to consider the overall control and planning of the service and its components. This is a function more appropriate to the larger authority which has the greater resources and which is more likely to be able to attract professional staff upon a satisfactory level of seniority. Control and planning is an essential part of the archives service, whether the different functions are divided physically or not. Effective control and co-ordination is the key

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to the success of the whole. It is here that the archivist is likely to exercise his professional skills to the best advantage, and he should have a management structure — a committee for policy decisions, budgetary responsibility, a place in the chain of command — which adequately supports him.

In practice, no archives service, whether at national or at local level, looks quite like any of the models discussed above. It is not likely that any archives service will ever quite resemble a theoretical model in any case. An archives service, like other services both cultural and management, will have to be tailored to suit the circumstances of any given employing authority or nation. It is argued here that those services should still conform to professional standards and practices, and should still take part in the co-ordinating facilities established in their nation or region. When allowance has been made for all local or particular variations, a clearer picture is now available of what are properly professional practices and how they may be organised. As we move away from the pioneer period the organisation of services will develop rapidly and may come to look rather different from what they did in the earliest stages.

ARCHIVES, DEVELOPMENT AND NATIONAL SOVEREIGNTY

by Charles Kecskemeti

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published in Serbo-Croat in *Arhivi*, vol.21,
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PRELIMINARY REMARKS

At the beginning of 1971, I was commissioned by Unesco to organise the archives section of the School for Librarians, Archivists and Documentalists at the University of Dakar ¹. In previous years (1967, 1969 and 1971), I had been able to pay at least one visit to fifteen French-speaking countries in Africa ² in order to study the archival situation in each of them and to draw up plans for setting up and developing archive services and for training archivists.

This article, which was written at the request of M.F. Biljan, Director-General of the Archives of Yugoslavia, is a first attempt to set down my thoughts on these activities and travels. 'Experts', of course, like journalists and tourists, often make misleading statements when talking about the countries they have visited. There is a risk of making such mistakes even when one tries to put aside preconceived ideas and prejudices, and even if one strives to learn about the real situation in any country instead of distorting facts

¹ This is the first establishment for archival training in Africa. Classes will commence in November 1971.

² In addition to Senegal, where I have been living since January 1971, the countries are as follows : Mauritania, Mali, Guinea, Upper Volta*, Ivory Coast, Togo, Dahomey**, Niger, Chad, Cameroon, Central African Republic, People's Republic of Congo, Democratic Republic of Congo and Gabon.

* since 1984 Burkina Faso.

** since 1985 Benin.

to fit a plan worked out before the visit. In the case of the expert sent to Africa the risk is especially great, not only because the general situation in Africa is complex but also as the expert, by definition, has to make instant judgments on problems put to him, draw up plans and attempt to apply his technical standards ; in short, he is expected to act in accordance with ideas which may not be compatible with what can possibly be done in the country in which he has been asked to work. The risk is incommensurably higher in the case of the itinerant expert, as each of the countries in which he acts as consultant is quite different from the others ; and a solution which has proved satisfactory in Niger, for example, would not automatically be viable in Upper Volta or Chad, and might be even less so in Gabon or the Ivory Coast.

The extrapolation of results and the projection of ideas acquired elsewhere, as well as hastily formed generalisations, threaten the efforts of all those who are involved in projects for cooperation and technical assistance ; and I do not expect to be an exception to this rule. I can even admit that since before my first visit to Africa I have been convinced that African countries had a need to organise or re-organise their archives, and that it was necessary to train African archivists with some urgency. Over the years this belief has only been confirmed ; new factors and evidence to support it have come to light in the course of each visit and each interview I have had in various capitals. I have tried to arrange them in a logical order.

I. AN EXPENSIVE ABSURDITY : GOVERNMENT WITHOUT RECORDS ADMINISTRATION

1. THE ULTIMATE PURPOSE OF ADMINISTRATIVE PAPERS

'The principal industry in overseas territories today is government' writes René Dumont, adding a little later that 'government as it is at present conceived will bring these countries to ruin' ¹. Albert Meister, who studied the possibilities of development in three anglophone countries in East Africa, notes that 'it is necessary to stress the fact that public services have become less efficient, procedural delays are increasing, and over-staffing is more prevalent' ². The functioning of government departments has been

¹ Dumont (René), *L'Afrique noire est mal partie*, revised and corrected edition - Paris, Seuil, 1969, p.68.

² Meister (Albert), *L'Afrique peut-elle partir ?* - Paris, Seuil, 1966, p.267. These three features are just as characteristic of francophone countries.

criticised by all those who have been brought in to study them, whether they be economists, sociologists, agronomists or writers - and whether from Africa or Europe. The inefficiency of government services is one of the main topics of conversations which I have had all over Africa both in official and private circles. As a subject for discussion it is as popular as the bureaucracy in socialist countries or the road network in France. This state of affairs is usually explained by political factors (officials with a political engagement rather than with technical expertise), cultural (lack of experience of African managerial staff who are promoted too quickly), or sociological (parasitism, the inflation of staff numbers through the appointment of family connections or to secure electoral favouritism). It can be said therefore that administration in Africa is suffering from a chronic illness, indeed a deformity, which in the short term is incurable. Observers do not pay much attention to the absurd administrative structures and methods ; and the archival aspect of the inefficiency of the public services goes quite unnoticed. Nevertheless, this is a basic fact. Perhaps this fact is too elementary to raise interest at a time which is governed by sophisticated technology. In the world today, accustomed to complicated electronic and other techniques and the pervasive and skillful use of jargon, simple mental processes and unsophisticated solutions to problems offer only a small attraction.

What is the root of the problem ? Administration 'produces' only one thing : paper ¹. We must assume that the paper thus produced has a certain value beyond its humdrum purpose, which is to make it possible for the official to draw his salary at the end of the month. But it seems that most officials and technical advisers with responsibilities in Africa are so far wary of accepting such an argument.

2. ARCHIVES AS VICTIMS OF THEIR OWN REPUTATION

Archives in Africa suffer from the brand image developed by the Archives in European countries during the 19th century, when they became 'laboratories for historical research' ². They have devoted most or all of their efforts to earlier archives, more or less neglecting the papers created in greater and more frightening quantities

¹ Institutional systems which do not make use of the written word (or with only little use of writing) were in operation in Africa centuries before colonisation. But since then Africa has adopted an administrative system based on the written word ; and there is no reason to believe that this fundamental fact will be challenged.

² The words of M.R.H. Bautier.

by the activities of the public service. This lack of interest in the daily links which should exist between the Archives and public departments was perhaps the price paid for establishing the scholarly authority of the modern autonomous archival institution. Be that as it may, this state of affairs, which in fact is of short duration, has come about after ten centuries of continuity in archival work within an institutional system ; and in Europe government departments have always made sure that they look after the records produced by their activities, or at least that they appear to do so.

To complete the picture we should add that between 1920 and 1970 from Moscow to Washington, through Belgrade, Budapest, Coblenz, Brussels, Paris, London, Madrid, etc., the Archives have rethought their methods and their responsibilities so that they can now face the problems posed by the vast mass of paper being created ; and without neglecting their professional aims they have become more and more deeply and energetically involved in the management of current records ¹.

In Africa, therefore, it is the brand image of the 19th century which appears to prevail. The reputation of the Archives is desperately cultural and academic, particularly among technicians and specialists working in agencies providing assistance and cooperation. Enormous efforts are required to fight under-development in agriculture and industry, to increase scarce resources for health, education, and to maintain (and if possible improve) living standards of the people. In these circumstances the Archives suffers from their reputation, which is based on parchment and palaeography, and will have no chance of being included in development plans.

The total expenditure on prestige projects from Nouakchott to Kinshasa would certainly reach an impressive figure : air-lines, many public buildings of luxury standard, universities hastily founded in countries awarding one or two hundred bachelor's degrees each year, a multiplicity of embassies, etc., as well as other grossly extravagant expenditure. But the results of these outlays have at least the advantage of being spectacular. The organisation of archives does not promise the same psychological benefit, and there seems no reason therefore to include them in the budget for prestigious purposes.

Development action is planned and organised around priority objectives : schools, eradication of endemic diseases, 'animation' of

¹ This very rough sketch of the situation is too superficial to be historically accurate. It aims simply at emphasizing the fact that care for archives is one of the normal tasks of European government departments since the latter have functioned on the basis of the written word.

rural communities, diversification of agriculture, surfacing of roads, establishment of industries, etc. ; and we must admit that it is difficult to imagine the Archives having such priority. It has often been said to me in Africa that, of course, the Archives is an excellent thing, but it must come later. First the chickens must be vaccinated, dams must be constructed, paddy-fields must be irrigated, palm-oil trees must be planted and adults taught to read and write.

3. GOVERNMENT AS THE VICTIM OF THE REPUTATION OF THE ARCHIVES

This gravely mistaken view of the Archives has disastrous consequences. With a false but well-intentioned idea of the role and purpose of an archives service, the argument that scarce resources should be devoted to priority objectives leads to a gradual paralysis of the administrative machine. By not agreeing to make prestige investments (that is, to create archival establishments) the planners condemn the public services to a chronic inefficiency and to a waste of resources equivalent to several times the cost of setting up a records management programme. Officials produce papers throughout each year ; but one wonders why. After a few months, or indeed a few weeks, it becomes impossible to find files which are buried inextricably in heaps, hidden in corners of offices, stacked in corridors, cellars or sheds, exposed to the weather and termites. The archivist is appalled at the sight presented in some government offices in Africa, with their cupboards stuffed with unusable papers, spreading all over the floors to the doorways, with piles of mixed files occupying all available space (tables, floors, and the top of filing cabinets and cupboards). What is the use of all this paperwork if the lack of any system to make it accessible renders it valueless ? For we should not forget that at least half the budget of African states is for paying civil servants - and therefore for creating paper. When there is not a single square centimetre of space left empty in office accommodation the need to destroy records has to be accepted. But as files are not arranged in any order and there are no archivists to make a selection from them, instead of disposing only of those which have lost their value, they are all thrown away. Sometimes files are burned in the back-yard (an actual case in a Ministry of Planning), sometimes they are thrown into the street for the enlightenment of passers-by (a case reported by an African daily newspaper), sometimes they mysteriously disappear like the documents relating to public works which were distributed among the relevant countries when the French West African Federation broke up.

4. WASTE CAUSED BY THE ABSENCE OF ARCHIVE SYSTEMS

a) Wasted time and unnecessary investments

Ministers, planners and other senior officials would often like to consult or reopen files which they know exist. But this presents a problem : it sometimes takes weeks of searching to find a file, and success is not always guaranteed. A minister has told me that he had waited fifteen days to get a record. Would it not be more profitable to use some of the large staff, particularly junior staff, to create and maintain records in a proper order rather than to employ them from time to time in searches which are often unsuccessful ?

'It is impossible to warn a young country sufficiently about the dangers of the *maladie de la pierre*', the excessive growth of massive buildings which too many people in European countries wrongly regard as productive investments. They are no more than 'running costs', as are other costs of administration ; and they must therefore be kept to the essential minimum' ¹. The lack of premises suitably equipped for the storage of archives contributes to the excessive growth of new buildings, as office space is continuously expanded to accommodate more filing cabinets, tables and cupboards, costing millions of CFA ² in office furniture. When a filing cabinet with suspended files becomes full the contents cannot be moved to a non-existent archives department ; and as there is still space in the building for more cabinets, a second and then a third are bought. This makes it possible to avoid the disagreeable task of deciding which files are no longer of any use, and also to postpone the destruction of those files, which is always disagreeable to the official.

A substantial reduction in administrative costs could be made by setting up a record centre, where a linear metre of shelving would cost from 2,500 to 3,000 CFA, to which files not in daily use could be transferred. Storage of a linear metre of records in vertical filing cabinets costs 22,000 CFA, and in cupboards the cost is between 6,000 and 10,000 CFA. Moreover, the storage of records in boxes designed for the purpose not only ensures better protection for them, but is also less expensive than keeping them

¹ René Dumont, *op. cit.*, p.58.

² The CFA is worth 2 French centimes (1FF = 50 CFA). The figures from which I have made my calculations were kindly supplied by Strafor - Senegal. The linear metre of shelving costs about 4,500 CFA retail (all costs included), but reductions up to 50% are possible with very large orders. The prices are those in Dakar.

in files in office furniture which if emptied could be used again ¹.

It has not yet been possible for me to make a comparative study of the construction costs of office buildings and archive repositories. But without doubt the difference is significant, even more so for record centres of a purely functional character. Moreover if documents were properly managed and submitted to regular appraisal procedures, a considerable proportion of them would be destroyed without causing any difficulties, thus proportionately reducing the needs for furniture and premises. An idea of the sums of money involved could be obtained only by examining the costs of equipment for the public services and calculating the cost of office space wasted by storing papers which should be in the Archives or which should have been destroyed.

b) Duplication of studies

The most appalling and obvious example of waste occurs when studies are undertaken more than once. When the implementation of a project is postponed instead of proceeding immediately after completion of the study, it is very likely that the file cannot be found when the subject is again put on the agenda, even though the cost of the study had been high ². The same studies (geological, agricultural, educational, tourism, etc.) can be made three or four times, especially ³ if a country applies successively to different assistance agencies. It is unfortunate, but almost inevitable, that there is no coordination between the various assistance organisations (those of the United Nations system, bi-lateral cooperation and private foundations). If, however, countries receiving aid had properly organised archives, the study made by an FAO expert, for example, could help considerably the task of an Italian or a Japanese expert sent three years later to implement the same project. Studies funded by organisations giving technical assistance become the property of the relevant country and should therefore be incorporated with their other public records; if this does not happen, the term technical assistance is almost meaningless. Every year some tens or possibly hundreds of thousands of dollars

¹ Of course, things deteriorate quickly in tropical countries. I do not believe in making miserly economies, but I do think it is important to use the equipment at one's disposal in a sensible way and to budget for equipment according to genuine needs.

² A particularly enlightening example has been given to me : after a study costing \$6,000,000 had been made, it was discovered that a similar study costing \$4,000,000 had been made in the previous year.

³ But not exclusively.

are wasted simply by repeating studies already made. In two weeks of research in the archives (if there are any), an expert can easily save three months work in the field ; the examples given by M. Valette demonstrate this in a striking manner ¹.

Archival 'reflex' is still absent from Africa. Colonial governments prepared many studies of all kinds, notably plans for roads and railways, which could and should be used again. These are concerned not only with projects which have not been implemented, such as railways in Gabon ², but also with roads which have been built but which after several years without maintenance are in a bad state and need large-scale repair. Without the files, the studies have to be made again from A to Z (surveying the route, replanning bridges, etc.) ³. At this rate, even marble palaces for archives would be profitable.

Because it happens quite frequently in Africa, it is also worth mentioning that an inability to find accounting documents also results in a drain on expenditure.

5. THE PROFITABILITY OF ARCHIVES

Wherever I went, I tried to show that archives cannot be considered as a sector-based objective with a position in a scale of priorities, but as an essential instrument for improving the political, economic and administrative direction of the country ; that all sectors were concerned, from agriculture to public health, since without the continuous availability of records there is not, nor can there be, any continuity in development action ; and that by creating archival structures and organising sensible records management programmes the State will reduce its expenditure ; in short, that investment in archives is profitable.

My powers of persuasion are of course limited. More than one expert and high official has remained unconvinced, maintaining that archives are only of interest to the archivist, that they do

¹ Valette, Jean. *Le rôle des archives dans l'administration et la politique de planification des pays en voie de développement*. Paris, Unesco, 1972.

² I have given this example because the Director of the Archives in that country has had the files in question returned from Paris to Libreville ; the remark is not therefore a criticism.

³ I have met such a case in one of the countries I have visited.

not deserve priority, that Africa is the continent with an oral civilisation where people have good memories and only the spoken word has importance and authority ; while the government expects its officials to produce paper, it is only as an excuse to pay them and thus reduce the number of unemployed. 'I can do nothing more for you' were the concluding words of a distinguished expert during a discussion on the archival problems of the country in which he was stationed, a statement which put me in the uncomfortable position of an outsider who was looking after his own interests.

Despite several unpleasant experiences, I had a mainly sympathetic welcome, and sometimes real understanding. Moreover, although the situation in most countries is frankly bad, more and more encouraging moves are being made (archives of the Ministry of Finance in Upper Volta, Archives Directorate of Gabon, plans for the archives of the Republic of the Congo, Upper Volta and Togo, pilot project by Unesco in the Ivory Coast, construction of archives buildings in Togo and, possibly, Niger, etc.).

Clearly there has been a change since 1969, and we can hope that in the next two or three years archives administration will become a normal component of public life in Africa.

II. ARCHIVES AND THE SOVEREIGNTY OF THE STATE

1. PROTECTION OF RIGHTS

Up to the nineteenth century, in spite of the marginal use of archives by a few favoured searchers, their essential purpose was to preserve privileges and rights. The collection of documents from many sources into (secret) State Archives by several European rulers from the sixteenth century onwards was motivated not only by the wish to have at their disposal as many sources of information as possible, but even more by the wish to provide the State with all the instruments which could justify its claims and preserve its prerogatives, its revenues and the territories it had conquered. Of course, the African republics in the last third of the twentieth century do not have the same 'priority' concerns as the absolute rulers of the *ancien régime* ; and one of the characteristics of modern society in Africa and elsewhere is the absence of social groups endowed by law with privileges. It is nevertheless a fact that all kinds of documents, from constitutions and international treaties to surveys and personal files, fill the same role as ancient charters : they guarantee rights. The loss or destruction of documents of this nature will certainly create sooner or later political, administrative or legal difficulties (law suits concerning ownership

of property, details of officials' careers, etc.) ¹ and therefore cause harm to the State, to the body or to the individual whose interests are concerned.

Before Independence titles to sovereignty relating to colonies remained in the possession of the relevant metropolitan authorities ² in accordance with normal administrative practice. After the end of colonial rule most of the new states did not give any thought to the importance of archives in the exercise of their sovereignty. One of the reasons was that in the territories which were part of the AOF archival policy was dominated by historical and academic preoccupations from the time of the first measures taken by Governor-General W. Ponty ³; and this orientation towards the cultural aspects of archival institutions was finally confirmed by the decrees of the Governor-General of 17 September 1942 and 3 August 1943 which attached the archives of the Government-General and of the territories to the *Institut français d'Afrique noire* and its local centres ⁴.

As a result, following Independence the old structures have been maintained, or only slightly altered, owing to the total lack of archivists or of administrators who were aware of the role of archives in a sovereign state.

Some countries, notably Upper Volta, Mali and Gabon, have just begun to bring together documents which define their frontiers. These records can also acquire a special value if oil or other mineral wealth is discovered.

Treaties and international agreements are often mislaid ; and when it becomes necessary to refer to them the government has no alternative but to request a copy from the embassy of the country concerned or from some other foreign source.

This particular anomaly could be ended at a small cost by establishing archival services within the Ministries of Foreign

¹ To avoid making the present article too long, I must content myself with this reference to the problem of guaranteeing the rights of individuals.

² Archives of the Ministry of Foreign Affairs and the archives of the Ministry for France Overseas.

³ Decree of 1 July 1913 and circular letter of 2 July 1913.

⁴ The general decree of 1953 has in principle cancelled the attachment of the archives to the IFAN, but in practice this has been applied only at the federal level and in Senegal.

Affairs ¹. But the problem is more general : documents are in a state of neglect in almost all government departments, and it would be more sensible and cheaper to embark on a national archives programme which covers all records rather than to take partial remedies or expedients in cases where the harm caused by chaotic documentation in government offices becomes intolerable, or when an informed minister or senior official decides to put his own house in order.

2. DECISION-MAKING AND THE DEVELOPMENT PLAN

The exercise of sovereignty does not consist only of safeguarding the integrity of territories, of honouring obligations under international agreements and of ensuring that others respect their obligations ; it implies also that the power of decision-making belongs entirely to the government. But it is not really possible to make proper decisions unless relevant information is readily available ; and this is the situation when a government has no control over its own records. In some countries where records are not easily accessible decisions are based on the ideas and knowledge of officials and their advisers who are holding office for the time being ; and as the holders of posts of this kind frequently change ², and as a successor often does not bother to consult the files of his predecessor, the continuity of governmental action is by no means assured. There are even countries where the texts of statutes and regulations cannot be found, and further versions which are different and even contradictory are therefore improvised ³.

The fact that some African governments find it impossible to refer to files and to take advantage of existing documentation means that planning is often based on assumptions rather than facts and that the country is prevented from taking full advantage of foreign technical assistance. The United Nations Development Programme

¹ As was done in Senegal, the country for the pilot scheme for archives in French Africa, as part of the administrative reforms developed with the aid of a team from the United Nations.

² Few of the ministers and senior officials whom I found in post in 1969 were still holding the same offices in 1971, although only one of the countries had a change of government between the two visits.

³ M. Valette rightly emphasizes the importance of creating and continuously up-dating a register of legal and regulatory texts. In the Central African Republic an adviser to the Ministry of the Interior has produced one for the use of regional administrators.

has just adopted the principle of global planning of assistance for beneficiary countries. This measure should have considerable significance in the sense that priorities defined by different countries no longer encounter the obstacle created previously by the provisional share-out of the UNDP funds between the various UN agencies.

Even if records are well organised, planning obviously will not always be satisfactory. But if certain sets of data and some of the basic files are not available to the planners, it is most likely that planning will not be soundly based ¹. At any rate, programme planning by countries ², which covers only a modest part of the planning field, is not progressing at the expected speed. There are many reasons for this among which documentary muddle takes a high place.

Development is much more a matter for government in Africa than it was in the United States or Japan, or indeed in Europe at the time of the great social and economic changes which took place in the second half of the nineteenth century and the first decades of the twentieth century. M. Fougeyrollas rightly believes that 'the productive power of a society depends above all on its own capacity for organisation'. When the government is responsible for development action, as is the case in present-day Africa, it is its organisational ability which matters above all else. By organising records in a sensible way, we are not making a sacrifice on the altar of bureaucracy but enhancing the organisational capacity of the government.

I confess that while travelling in Africa, I have more than once been struck by wicked thoughts. If it is a lack of understanding and a state of inertia which effectively blocks any progress in the development of archives, is it really because it is first necessary to vaccinate the chickens ? ³.

3. THE NATIONAL PROBLEM

Up to the even of independence, the élite in Africa could reasonably expect to substitute the colonial regime by regional, federal and

¹ Not only statistics on economic, educational, health or demographic matters, and mining, hydrological and railway projects, but also data on ethnological, linguistic, food and religious matters.

² The term used for the new UNDP technique for assistance planning.

³ It should be noted that for the fight against an epizootic to be effective, there must be a strict discipline in keeping records.

confederal political structures which relied less on nationalism than does the European political system. This hope has not been realised ; and while the Pan-African ideal has greatly contributed to the abolition of the colonial regime, and while it has achieved final victory in the struggle for the dignity of the black man, it can now influence policy only through inter-state cooperation, intergovernmental organisations and cultural events. At independence Africa chose the national path towards development within frontiers drawn by European powers ¹. Evolution seems to be decided by the dynamic force of nationalism, a fundamental doctrine of the political hierarchy in all countries of whatsoever political complexion.

The role of nationalism in contemporary Africa, both as an overall expression of political, economic, social and cultural aims, and as a driving force, reminds us more than a little of the nationalist movements in Central and Eastern Europe in the first half of the nineteenth century. Without claiming to have made an exhaustive comparative study of the similarities and differences, we must note some facts which show that this is a legitimate comparison ².

In both cases the fundamental historical task of the first great generation of the national awakening was the transformation into nations of the political-social communities for which they felt themselves responsible. In other words, 'nation' comprehends both the collective entity which the nationalists strive to serve, lead and transform, and the future collective entity which will be created when the nationalist aims have been successfully fulfilled. While present-day European nationalisms give no more to citizens than some mental comfort, and, of course, the more and more contested satisfaction of knowing that they belong to a group usually regarded better than others (or at least more bearable, if not more pleasant), those in Africa today have a more powerful attraction and an intellectual and moral hold on a different and higher plane. As in former times in countries on the periphery of Europe, the programme of national independence in Africa is indissolubly linked with economic, social and cultural progress. The aspirations of the African élite of our generation, like those of nationalists in Roumania, Slovakia, Croatia, Serbia and Hungary in the liberal era, envisage the construction of roads, equality in law, the promotion of agriculture, the right to vote and, sometimes, the liberty of the citizen, the establishment of industries, full participation in the concert of nations, education for children and plenty for all. Conflicts of opinions, controversies between followers of different political

¹ Present frontiers are different from those of the colonial era in two cases : Cameroon and Tanzania.

² This comparison is exclusively concerned with the role of nationalism and does not try to establish any relationship between the societies mentioned.

views, struggles for power between rival groups, only show that everyone is a nationalist in his own way, and that nationalism is not a codified doctrine or a monolithic movement which is immutable in its orthodoxy. Different political doctrines may exist in Africa ; but all wear national colours, even if, as it happens from time to time, the flag is changed when a new political truth comes to power.

The period in which a nation is being created is inevitably a time for quarrels (verbal or armed according to the circumstances) between different nationalist views ; and the protagonists generally cast doubts on the loyalty of those who oppose their own idea of an ideal nation. That makes it possible subsequently for historians to make interesting studies on the complex phenomenon of the birth of a nation - a fascinating subject for us.

The African programme is to create nations in order to overcome under-development, and to fight against under-development in order to create nations. Whether utopian or realistic, this is the path which states and peoples in Africa have taken ; and if nations are still in the making, the future in Africa is in nationhood¹. From this point of view a comparison with the areas of Europe to which we have referred is valid.

On the other hand, the connections between State, language and nation, the sacred triptych of European nationalist generally, but more particularly in Eastern Europe, appear in a totally different way in Africa.

National languages will probably one day cause political difficulties in Africa ; but at the present stage African nationalism is expressed better in English or French than in Bambara or in Haousse, and the causes of internal crises (Congo, Nigeria, Chad) do not seem to lie in linguistic factors.

The demand of European nationalist movements was for the creation of national states by re-drawing the map with frontiers based either on linguistic factors or on controversial versions of the *status quo ante*. It is quite different in Africa, where the map is not contested and nobody chooses to flourish arguments on *status quo*. At the risk of some simplification, it can be stated that while states in the European periphery were created to gain acceptance for the pre-existing nation, in Africa it is up to states to take action to be accepted by the nations they build up.

Events in Europe in the nineteenth century show that the building of communication networks (roads, railways, waterways, ports) and the provision of schools for all play an essential role in the

¹ cf. Fougeyrollas, *op. cit.*, pp.51-70.

process of developing modern nations ¹. But while it is possible to plan the asphaltting of tracks and indeed the growth of an effective system of schools, the general psychological and political process of the early development of a nation obeys its own logic, and neither plans nor regulates itself. It is at most within the capability of a government to work towards national development by using the media (press, radio, television), sport ², and also by supporting research aimed at understanding the basic facts about the country, particularly its social structures and their changing nature, and by carrying out a continuous evaluation of its own actions. Beyond these direct methods (propaganda, statistics, sociology and evaluation), governments can encourage the study of history, which is the discipline most likely to create national awareness. Other disciplines, such as languages, geography, the study of folklore, etc., can play a similar role to that of history, but the latter has a considerable advantage: all nationalism strives to justify itself by the past in order to establish its legitimacy and to prove its authenticity, even if that past has nothing which foreshadows the arrival of the national era. History answers to a deep psychological need which goes beyond the mere recalling of past glory, even though this has the effect of proving the everlasting quality of the people concerned, and of stimulating efforts for building up the nation; a man is only aware of himself if he can feel that he is part of an historical continuity. This answers to an intellectual need: in order to explain the present and plan for the future, it has always been best to consult the immediate and more distant past. According to some critics, who are either disgruntled or simply blinded by the apparent superiority of mathematics, this probing of the past is meaningless and can only lead to frail and suspect conclusions which are inevitably refuted by parallel or subsequent research. There is no doubt that the debate on this point will never end, because men both individually and collectively have a wish to know about their past; and they willingly accept that history will always be under revision and revaluation.

¹ I deliberately leave aside the technical and scientific progress accomplished in the last century; not because I dispute their importance to the rate of economic growth, but to emphasize the fact that the formation of nations is linked with economic possibilities created by the industrial revolution and not with the level of technical progress reached at a given time.

² A passionate love of sport, particularly football, is one of the most remarkable phenomena in contemporary Africa; and owing to the interest they arouse, international matches make an invaluable contribution to the development of a national awareness. Identification with sporting success happens spontaneously, whereas there are always mental reservations of a critical nature in supporting government action, a fact which sometimes leads to disturbing and unexpected results.

This does not in the least mean that it does not matter what is offered under the label 'history' ; for the study of the past is dependent on sources. The sources for history in Africa are many and scattered, including not only written documents preserved in Africa and elsewhere but also oral traditions, art objects and surviving customs. Before there can be a great advance in the study of African history it is first necessary to establish the infrastructure for research - that is to say, libraries and archives. Some African states have done the opposite : by choosing a spectacular approach at the expense of a more rational solution, they have created Institutes for the Humanities without giving thought to the sources which their scholars will need to use ; and they have collected recordings of oral history and microfilm from abroad without any means of storing this material properly.

It is not true to say that Africa has no archives. Certainly there are not many documents dating back before the colonial period, but limited quantities do exist in some countries. Records created by colonial institutions fill many kilometres of shelving ¹ in a number of African countries ². It would be possible for the writing of African history to take a dramatic leap forward if these were made available for research. When the Archives have facilities for keeping magnetic tapes and microfilm, it will become possible to collect film, even on a large scale, particularly from the former metropolitan countries, as well as material for oral history. The period 1950-1970, which are the years before and after independence, will justifiably interest future historians more than any other ³. Unless immediate steps are taken to save post-independence archives (including those of political parties and trades unions), future generations will know less about this decisive period in their national history than about military campaigns at the time of colonisation or the 'native policies' of the Governor-General of AOF. Many records have already perished, and the history of the beginning of independence will therefore be difficult to write; and many facts of varying importance will remain unknown forever. Is this a reason for leaving things as they are ?

¹ Most often in deplorably conditions ; in many cases tons of 'historical' records would be heaped up anyhow, exactly like present-day government files.

² Since independence, the French authorities have carried out a large-scale repatriation of records in only a few countries (archives of the AEF and Madagascar, for example) ; but these measures have made little impact on the whole mass of records created by colonial governments.

³ Indeed it already fascinates specialists in contemporary history and political science, as well as economists and sociologists. The latter will however be able to get only a limited, although appreciable, benefit from the existence of archive services, as access to most of the documents they want to see is still restricted.

CONCLUDING REMARKS

All these thoughts do not amount to a new philosophy of history in which divine providence or the class struggle would be replaced by the registration of mail, and the *cité interministérielle des archives* would be a substitute for the City. They do not even set out to prove that 'without archives there would be no development', or to establish the truth of similar propositions. They are concerned more simply to explain why Africa has a duty to set up archival structures ; for, I repeat, the Archives must not be regarded as an objective, whatever priority it is given. The Archives is a vital component in the administrative machine, in the same way as *préfectures*, statistical offices, tax offices or school inspectorates. No African government has ever put at the top of a list of priorities the establishment of private secretariats for ministers ; they are always set up, however, so that ministers can carry out their duties.

Archives can become the tools which create an administrative machine of remarkable and even formidable efficiency, as the work of the police force and the counter-espionage service makes clear. The proper administration of a country requires more than the choice of a promising policy and the adoption of the most useful list of investment priorities. The daily working of the administrative machine is also important.

The archivist must not risk making himself look ridiculous by exaggerating the importance of the services he can offer to the community. The creation of records management systems and a national archives will not conquer hunger, unemployment and illiteracy in the Third World. But archivists have their part to play in development action, and only ignorance can lead to a denial of that fact. Unhappily ignorance is one of the most potent forces in history. And that also is ignored.

Archives in Developing Countries: A Contribution to National Development

By WILFRED I. SMITH

IT IS REASONABLE to assume that countries in North America and Europe have advanced beyond the stage where it is necessary to justify the very existence of archival repositories. It is true that archivists are inclined to regret that the public and their servants (or masters) who control the purse strings do not see fit to assign a higher priority to archival objectives and programs. Yet there appears to be a general acceptance, at least in principle, of the views that were clearly expressed at the time of the French Revolution—that in addition to their practical uses archives are a cultural resource, a mirror of the past, a collective national memory; and that a fundamental obligation of a community or society is to preserve records of its past and make them available to the public as a cultural heritage.

The concept of records management is of much more recent origin. Chiefly a product of American experiences during and after World War II, its contribution to governmental and corporate efficiency and economy is now taken for granted in North America and is gradually becoming recognized in Europe. There is, however, a large portion of the world's area and population, known collectively as the "developing countries," in which both archives and records management either do not exist or are in a primitive stage of development. In these countries, moreover, the difficulties of establishing and maintaining a records program and of obtaining the necessary resources and popular support are formidable by any standards.

There are many practical reasons for assigning a low priority to

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archival institutions in developing countries. The following list is indicative but not exhaustive.

1. The urgent need for economic development has a clear priority over cultural concerns in the allocation of available resources.

2. The related need to improve standards and conditions of living gives priority not only to economic development and related employment opportunities but also to hospitals, housing, transportation, and welfare.

3. An emphasis on education and training is required, not only to provide needed leadership and professional and technical expertise but also to release the latent capacities of whole populations where illiteracy is high.

4. The desire to transform emergent societies from materially primitive and dependent colonies to prosperous, well-informed, and self-reliant countries places a high value on information. But the urgency of problems of the present and plans for the future reduces the interest in the past and the incentive to study it. Indeed, the colonial experience may be considered in some quarters "a record of disgrace."

5. Unifying diverse racial, religious, and social elements is essential to bringing about cohesiveness and a sense of common identity and united purpose. In attaining this object the printed word and mass media seem to be more effective than unpublished records. Indeed, for the purpose, propaganda may seem more expedient than authentic evidence of the past.

6. Effects of the typically tropical climate in developing countries make the task of preserving original records difficult, expensive, and seemingly disproportionate to the research value of the records.

7. Voluntary nongovernment support from individuals and such groups as local historical societies is lacking.

8. The support of historians, who in North America have been the most effective advocates of the establishment of archival repositories, is divided and uncertain. In the case of developing countries, historians often seem to be more interested in obtaining microfilm copies of records from the archives of former colonial powers than in promoting the establishment of repositories for records that originated locally.

9. The serious lack of trained archives and records management personnel deprives developing countries of local leadership and adds to the difficulty of diverting scarce funds to an area of low priority.

10. Where records management and archival systems do not exist, a need for them and an understanding of their value is not felt and is difficult to explain convincingly without being able to demonstrate benefits.

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These and other reasons explain the low priority which has been given to archives and records management in developing countries. If effective support for them is to be provided by the countries concerned, it must be demonstrated that they have practical as well as cultural value and that there is an integral relationship between them and governmental efficiency, economic development, and national unity. In several ways it can be shown that archives and records management indeed do make important contributions to national development.

First, records management can increase the effectiveness of Government departments and agencies in general, and particularly of those having the chief responsibility for economic development. The United Nations handbook of 1961 concluded that "administrative improvement is the *sine qua non* in the implementation of programs of national development." But the key to administrative improvement is good records management, which is the effective handling of information. The effect of improved classification systems with resulting rapid retrieval (and other aspects of good records management practice) on informed decisions and administrative efficiency is undeniable. For example, the introduction of a new classification system in one case reduced the average time of producing information from 2 hours to 20 minutes. In contrast, there are many examples of days and even weeks being spent in searching through disorganized records or in duplicating reports and studies when originals are not readily available.

It is difficult to measure either quantitatively or qualitatively the total impact of records management on governmental efficiency, but in some respects, financial savings can be measured fairly precisely. Through the introduction of disposition schedules that provide for regular records retirement, and in the use of records centres for dormant records, the economies are real. Costs of space, staff, and equipment for storage in offices compared with those in a centre, easily show the financial saving achieved by the transfer of every cubic foot of dormant records. To that return can be added the total saving involved in planned destruction of records that are no longer useful. A final benefit of records management is the identification of records having enduring value for development and other purposes, records whose preservation can be assured by their transfer to an archives. It can be demonstrated that, far from being a luxury, a records management/archives system is an essential instrument for the effective handling of information. Such a program promotes efficiency and economy and can have both direct and indirect effects on national development. It can be shown to be a sound investment, yielding good dividends.

Second, archival information can be of practical use in national development. It is obvious that the application of relevant experience, as an alternative to starting anew, saves time and money, avoids duplication of efforts, and may prevent failures. Recent reports on several years of archival experience in Malaysia and Madagascar contain many examples of the utility of information from archival sources for a whole range of current development projects, especially in planning and operational research.¹ In the field of agriculture the results of earlier studies and experiments have proved of great value. Unpublished reports and notebooks on raising rice and in the culture of silkworms, for example, considerably benefited agricultural development in Madagascar; whereas the loss of records relating to cocoa growing led to long and expensive experiments and costly failures. Old geological surveys and reports, maps and charts, and records of mining companies are exceedingly useful in the development of mining. They have shown, for instance, that proven quantities of ore exist but that earlier development was not feasible because some elements, such as transportation or adequate markets, were missing. When these elements are present, former failures have been reversed. Previous weather records indicating rainfall and the incidence of hurricanes and floods have an obvious value in planning for economic development, as do earlier medical reports of missionaries on the control of epidemics.

Industrialization requires much study of many different factors, a combination of which must be favorable to make investment practicable. Archives can be most useful in indicating trends over a period of time. For example, old police reports have been employed in tracing relations between ethnic groups in a region, an important factor with respect to manpower studies for particular industrial projects. The infrastructure—roads, railways, ports, and other basic facilities underpinning the economy—is essential to national development. Reference to old maps, plans, and surveys has permitted the relocation, repair, and construction of roads, railways, canals, and ports. The accelerated construction of a dam in Madagascar was made possible because old departmental records had been retained and retrieved from a miscellaneous mass of records by archives staff. On the other hand, loss of records relating to a highway in Ghana cost an estimated half-million dollars because work done before the loss had to be duplicated. Archival material is of particular value

¹ See F. R. J. Verhoeven, "The Role of Archives in the Public Administration and the National Planning Policy of Developing Nations," and Jean Valette, "Le rôle des archives dans l'administration et dans la politique de planification dans les pays en voie de développement." Both unpublished studies were prepared for Unesco by the International Council on Archives.

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in long-term planning that requires the use of current resource data to perfect future potential. Such projections have greater validity when reinforced by relevant archival data extending over long periods in which distinct trends were indicated. Even if no records of the past had survived, it would be an obvious duty of Governments to retain certain kinds of current records for future use. An archives could then be justified on future requirements alone. It is safe to say that the preservation and availability of archival sources can facilitate development planning, avoid needless duplication of effort and former errors, promote continuity, and provide the benefits that are afforded by previous experience.

Third, archives can contribute to the growth of national unity. Many new states are artificial creations, because sound ethnic and geographical boundaries were often ignored in the establishment of colonies that have recently achieved independence. The power vacuum left by withdrawal of colonial Governments has led to deep political and personal rivalries; it has encouraged the revival of ancient tribal conflicts; and it has stimulated other negative forces that seriously threaten the survival of many new nations. Hence there is an imperative need to forge elements of unity, to build a sense of national identity. To a considerable extent this identity depends upon the recognition of a common national history, the writing of which is necessarily based largely on research in available archival sources. It is interesting that the United States experience in achieving and consolidating independence has been cited as an example of just such a use of archival material to promote national consciousness. Historical research in the records of the struggle for independence focused attention on a vitally important common experience and background, explained the reasons for building one nation in place of 13 disparate colonies, and highlighted the fundamental principles and goals that first emerged and have since served to guide the Nation's political evolution over two centuries.

Finally, archival material is valuable to national development in the educational process. As new nations attempt to move quickly into the last quarter of the 20th century, there will be much reliance on imported information. In these circumstances, history, which is a native product, can assume more importance than usual. Developing countries, initially short of formal published histories, may well lead the way in popularizing original archival sources, particularly those of an audiovisual nature. Integration and unification are particularly difficult to achieve in countries which are multiracial and multicultural in character. Recognition of the complementary contributions of the various constituent elements can go a long way toward promoting national unity and identity. These efforts need

not be confined to schools. By the use of exhibitions, lectures, slides, films, and radio and television programs based on archival materials, relevant information can be transmitted to the entire population. To reach the truly native roots, it will be necessary to seek evidence that antedates the colonial period. It may exist only in the form of oral tradition: folklore, music, and dance. It may be debatable to what extent archivists should be involved in the entire range of oral history; but in the absence of other programs archival institutions should attempt to preserve all components of an indigenous cultural heritage, including the visual and performing arts.

Once the concrete benefits of an archives/records management system are recognized, one comes face to face with costs. Here the advantages of a single, coordinated, comprehensive system—what has been called the “total archives” principle—become apparent. A single agency, which has responsibility for establishing uniform records management procedures for operating departments, which operates central records centres, and which controls the selection and transfer of records of enduring value for preservation in an archives, has obvious advantages over a fragmented system. The advantages are multiplied if the archives not only contain Government records but also cover the entire range of archival materials—private papers, business records, maps, photographs, films, and others. It is desirable for an archives to become identified with the total documentation of the past and to be regarded as the custodian of the national heritage, serving the population as a whole. Such an integrated records management/archives system, which promotes Government efficiency and provides a wide spectrum of services to Government and public in the entire range of archival materials, has a better chance of receiving the financial support that it needs than the multiplicity of institutions that have developed in an unplanned manner in some countries.

This concentration of archival resources and services is also a partial solution to financial problems posed by the expensive measures required to protect original materials in a tropical climate from the hazards of dampness, vermin, fire, and neglect. Where funds are scarce, it is necessary to avoid duplication. A single air-conditioned archives building, with a small staff and the equipment to provide a central microfilm service to all government agencies, photoduplication services for archives, and facilities for restoration and repair of documents, can be shown to be a good investment in terms of national development.

Against this background, the logical conclusion is that programs for technical assistance to developing countries should accord a high priority to records management and archival development. This priority should be supported not only by those who grant funds but

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also by the recipient countries themselves, from which hearty cooperation and matching funds should be forthcoming. It would be naive to pretend that such support exists today. Although a number of individuals, agencies, institutions, and organizations, most important of which are Unesco and the International Council on Archives, have been convinced of the importance of archival development; there is a tendency to regard it as purely cultural. International agencies such as the United Nations Development Program, as well as national agencies like AID and private foundations, all of which expend large sums for technical assistance, have not for the most part considered it an area for profitable investment. This attitude has been reinforced by the failure of emergent countries themselves to recognize the value of records management and archives to national development. What is not known is not missed.

Generally speaking, three factors are necessary for the establishment and maintenance of a successful records management/archives system in developing countries: technical assistance from abroad to provide expertise, leadership, and direction when they are not available locally; commitment of the required resources by developing countries themselves; and training of skilled professional and technical staff in each nation to ensure the continuity of the system, once established, and to adapt it to the particular needs of that country so that it becomes essentially a national institution and not a foreign import. The ICA is attempting to assist in two of these areas by providing short-term consultants, advisors, and instructors and by establishing archives schools in the developing regions of the world for training local personnel.

These observations on the potential contributions of records management and archives administration to national development will remain essentially theoretical unless practical measures are taken to establish the necessary institutions. Judging by the experience of the last few years, this reform will be slow and difficult. It is to be hoped that the effects of the steps that are taken will be cumulative and that support will accelerate as positive benefits are demonstrated. It is most important to stress—to aid-giving agencies and to authorities of developing nations alike—the practical advantages of a records management/archives system for national development, even to the extent of estimating the large financial savings or dividends which can be achieved from a relatively small investment in training, staff, and equipment. It is essential, too, that each country's own needs and requirements be considered paramount and controlling and that the records management/archives system be introduced as a harmonious element within the national governmental and institutional structure. Thus the system will not appear as a foreign transplant but as a beneficial graft on organisms rooted in native soil.

BASIC PRINCIPLES

Historical Manuscripts as Archives: Some Definitions and Their Application

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HISTORICAL manuscripts are regarded primarily if not exclusively as materials for research, whatever their origin or provenance. That august word *provenance* as the hallmark of archives has given archival records a superior status in the minds of some historians as well as archivists. It is agreed, at least among archivists, that archives are something more than raw materials for the scholar's use; indeed, such a gross understatement of their function would be seriously challenged. Whatever one's point of view, attempts to distinguish one class of records from another raise the question: What is the relation between historical manuscripts and archives? Is the one only the needy next-of-kin of the other?

In seeking to define terms in the field of records, where many persons are on common ground without being aware of it, we shall proceed best from the general to the specific. It may seem strange that professional archivists have been unable to agree upon definitions for communicating what they mean by certain terms used continually in an occupation that is concerned essentially with communication. The unseasoned youth of the archival profession in the United States, disrespectful of established titles from abroad and inclined to the casual language of the innovator, provides a partial explanation. Furthermore, the distinction usually drawn by historians between governmental archives as "official" (which they are) and all other records as "unofficial" or "private" (which they are not, necessarily) has raised artificial barriers between "official" archivists and curators of "private" or "personal" manuscripts. Another explanation is that even the nicest set of definitions will contain some corollaries in the nature of exceptions. So we may

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hedge by pointing out that, because records are human documents, one cannot always categorically call a spade a spade.

The most generalized expression is afforded by the International Federation for Documentation: "The term 'documentation' refers to the creation, transmission, collection, classification and use of 'documents'; documents may be broadly defined as recorded knowledge in any format."² According to this definition, documentation has a character of universality embracing all knowledge, however it be recorded, and the methods for implementing its use. If the scope of documentation is so broad as to require some delimiting for all practical purposes, yet it embodies a logical progression of activities, familiar to the archivist, directed toward the use of documents. Furthermore, from the standpoint of historical records, this broad scope harmonizes with the modern historian's conception of comprehensive subject-matter.

Turning now to archives as a large segment of documentation, we shall quote the definition of Hilary Jenkinson, both because it is concise and because his analysis is helpful in differentiating between archives and historical manuscripts. "Archives," he writes, "are Documents drawn up for the purposes of, or used during, the conduct of Affairs of any kind, of which they themselves formed a part, and subsequently preserved by the persons responsible for the transactions in question, or their successors, in their own custody for their own reference."³ Fundamental in this concept of archives is the organic unity of the documents, expressing the life of the organization which created them. The chain of responsibility from creation to preservation of the records is, or should be, unbroken in order to maintain their full significant content by observing *respect des fonds*.⁴ Under these circumstances, therefore, the archivist and his archives are an integral part of a living organism. If the organization becomes defunct without a successor, the archivist's job terminates, and what of the archives? If they escape destruction, have they degenerated to the status of mere waifs even though they have found asylum?

By way of elucidating his definition Jenkinson states that

² *American Documentation*, 1: 3 (1950).

³ Public Record Office, *Guide to the Public Records; Part I, Introductory* (London, 1949), p. 2. Jenkinson then defines "document" as "anything written, or annexed to a writing, by whatever means that writing is made or reproduced: and modern inventions are extending it inevitably to substitutes for writing such as 'Sound Recordings.'" Thus his definition is virtually as broad as that of the International Federation for Documentation.

⁴ No equivalent phrase exists in English to express tersely adherence to the arrangement of archives as determined in the offices of origin.

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"Archives are not Documents collected artificially, like objects in a Museum, because it is thought that they will be of use or interest to Students, but accumulating naturally in Offices for the practical purposes of Administration." Nevertheless these documents do have value for research, related or unrelated to the organization that produced them; and in the course of time their value for research is likely to be in inverse ratio to their use for administration. The archivist with historical perspective will recognize their permanent research value and emphasize the dual objective of his program embracing its service to a wide variety of investigators as well as its strictly archival function. This attitude generally prevails regarding governmental archives in a democracy because they are public documents, but policy with respect to the accessibility of semipublic or private archives for outside research varies widely.

When we apply this definition of archives to the indeterminate area of historical manuscripts, at first glance it would appear that the curator is no archivist because he has no archives in his custody. He has collected manuscripts artificially, though not necessarily "like objects in a Museum." He has acquired some collections formed by private collectors, thus compounding artificiality. He has even drawn into his net individual documents previously displaced from their original files. If, however, the curator has developed a plan of collecting with a sound historical basis, his richest material consists of bodies of organic papers of persons or families, organizations, or institutions, in their original order of arrangement, as the hypothetical archivist of any one of them would have preserved them.⁸ If they are transferred to a research library in what is obviously their original state, the curator's first guiding principle dictates that they be preserved in that system. Whatever modification he imposes after careful examination should not in substance violate this archival dictum.

In further explanation of his definition Jenkinson points out that "any Archive is potentially related closely to others both inside and outside the group in which it is preserved and that its significance depends on these relations." One of the archivist's duties is to familiarize himself with the contents of the record groups so that he can set forth these relationships in the inventories, guides, and other reference tools that are compiled. The curator of historical

⁸ Family or personal papers often suffer disarrangement at the hands of some well intentioned descendant who endeavors to "put them in better order" or to separate those "of historical interest" from those "of no value." Such bodies of dismembered papers vex and perplex the curator who acquires them, but they also challenge his historical perspicacity.

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manuscripts has in his custody a variety of groups or "collections" acquired at different times. Although many of them are unrelated, in the course of a well planned program he will obtain bodies of papers that have a bearing upon one another, through family kinship, business connections, and social activities. Mr. White's papers consist mostly of letters received, but when the files of his friend Mr. Black are acquired later, they include numerous letters received from White. Mr. Green, a business associate of White's in another city, had dealings with Black; therefore the papers of both Black and White provide information about Green. The descendants of Green will soon be approached by the curator with the hope that his manuscripts will reveal another side of events only partially told by the papers already in hand. Each group is an organic entity and will be filed as such, but their interrelationship is fully as important historically as that between record groups within a larger corpus of archives. And the curator has the same responsibility as the archivist to provide cross references for the benefit of the investigator.

Consideration must also be given to "the fact of unbroken custody, a reasonable presumption of which," Jenkinson maintains, "is the *diferentia* between a Document that is and one that is not an Archive." This status may become a matter of considerable legal importance with respect to a document's presumed validity because it is, and always has been, an integral part of the files under continuous control of the offices which created it, or their successors. In most instances the custody of bodies of historical papers is broken when they are transferred to manuscript repositories; indeed the original continuity of custody may have been broken several times previously. However, with respect to organic groups, they may not have lost any of that invaluable attribute of unity by reason of transfer. Their historical value is not necessarily lessened; in fact, little if any weight is given by the curator or by the researcher to the question of broken custody except to trace the whereabouts of segments of a divided collection still in private hands, for the purpose of reassembling them as a whole in a research institution.

In the light of the foregoing discussion and from the standpoint of the repository, we may define historical manuscripts as records of historical value, written by hand or typewriter or its equivalent (as distinguished from printed records), in single or multiple form. Historical manuscripts can be classified in three categories: (1) bodies or groups of papers with organic unity, in the nature of

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archives, personal or institutional; (2) artificial collections of manuscripts acquired by a private collector from various sources, usually gathered according to plan but without regard for *respect des fonds*; (3) individual manuscripts acquired by the repository for their special importance to research and comprising a collection of what, for want of a better term, are sometimes called "miscellaneous manuscripts."⁶ It seems appropriate and meaningful, therefore, in the first category to refer to the John White *papers* or, if the group is more comprehensive, to the White Family *papers* (in the nature of personal or family archives). In the case of an organization the term "records" may serve to connote the character of institutional archives, e.g. the Black Coal Company *records*. In the second category it is both logical and convenient to refer to the results of George Brown's hobby of collecting presidential autographs as the Brown *collection*. The word *manuscript(s)* is satisfactory for the third category since no distinction other than that of physical character is involved. It cannot be denied that all these terms are arbitrary at best.⁷ Susceptible to a wide latitude of definition and certainly of usage, they are, however, already applied to some extent with their present connotation by curators in search of uniform terminology, whose struggle for their adoption would doubtless be eased by spontaneous Americanisms, if such epithets were ever to spring from the mouths of archivists.

These definitions, encumbered with the difficulty of restrictive meanings, bear out the fact that often the line between institutional archives and personal papers cannot be easily or sensibly drawn. The problem would not arise if officials of both governmental and private agencies, in their original filing procedure, segregated their business and personal correspondence, or, having failed to do so, abstained from rapping it when they leave office. But the daily effort to maintain such segregation entails discipline rarely self-imposed and hardly enforceable by administrative order; in fact, few officials are even aware of the problem. Separation later is perpetrated most haphazardly by persons who have never heard of provenance but presume to pass historical judgment on the content of manuscripts and their disposition. It is not by any means a novel practice. The papers of the unpopular Thomas Hutchinson, colo-

⁶ Similarity between the second and third categories is evident, although the third as an institutional makeshift is usually more miscellaneous than the gathering of an earnest collector. The association of imprints with manuscripts is discussed later in this paper.

⁷ The only definitive term that could be substituted is *archives* for "papers" or "records"; the objections to its use in this connection are set forth above.

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nial governor of Massachusetts, were seized after his flight from Boston in 1774 and became the property of the Commonwealth. In 1821 they were in the custody of Alden Bradford, secretary of the Commonwealth and, we must admit, an historical writer. He undertook to segregate the official from the unofficial and, with the approval of the current governor, to present the so-called personal papers to the Massachusetts Historical Society for preservation. Bradford's successor 24 years later, the historian John G. Palfrey, demanded the return of the papers, but not until another quarter-century had elapsed did the Commonwealth recover them.⁸ Thus it occurs that many official records are transferred from the office of origin, not to the related archival agency but to private hands (the ex-official's own hands initially), and ultimately reach a repository of historical manuscripts. They are still official records and the historian must recognize them as such in evaluating their content for research.

This withdrawal of archival records, which the retiring official presumes to be his personal property, has occurred most commonly in high administrative positions of government where the incumbent acts on his own initiative and responsibility. By custom and precedent the President of the United States is permitted to dispose of his files as he sees fit when he leaves office. Thus the groups of presidential papers in the Library of Congress have arrived there not by transfer through governmental channels but by gift or purchase from descendants of presidents. The papers of the second President Roosevelt are the first exception, but the idea of establishing the Franklin D. Roosevelt Library at Hyde Park, New York, under the National Archives originated with Roosevelt rather than as a matter of governmental policy, and transfer of presidential records actually began during his administration. Under recent general legislation for presidential libraries the Harry S. Truman Library will doubtless be the second such institution administered by the National Archives.⁹

Official papers which become "archival estrays" by leaving office

⁸ Justin Winsor, "The Manuscript Sources of American History," in *Magazine of American History*, 8: 24-25 (July 1887). The Massachusetts Historical Society refused to return to the State of Connecticut the papers of its Gov. Jonathan Trumbull, for which a trust had been created in the Society by his heirs. *Ibid.*

⁹ National Archives, *Second Annual Report of the Archivist of the United States as to the Franklin D. Roosevelt Library* . . . [1940-41] (Washington, 1942), pp. 1, 3-4, 10-13; *Ninth Annual Report* [1947-48] (Washington, 1949), pp. 1-2; David D. Lloyd, "The Harry S. Truman Library," in *American Archivist*, 13: 99-110 (April 1953); Elizabeth H. Buck, "General Legislation for Presidential Libraries," *ibid.*, 13: 337-341 (October 1955).

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with their creator usually constitute the historical "cream" of the file. No wonder they have sometimes formed the nuclei of special research libraries or lent fame to them. A double case in point is the Sir Henry Clinton papers in the William L. Clements Library and the Sir Guy Carleton papers of Colonial Williamsburg. Both consist of official correspondence and related papers of the British Army Headquarters in New York City during the War for Independence; and since Clinton had not skimmed off all the cream, the papers of his successor, Carleton, include a large amount of material from Clinton's files.²⁰ One curator-historian remarked "that archives were apt to be places in which were kept unimportant documents after the important documents had been borrowed or otherwise removed . . . [and] that the important documents thus abstracted were, in many cases, already in institutions, such as libraries and historical societies, which were founded long before America became archive-conscious."²¹ While this writer admitted to some jocularity in his observations, they point to a distinction without a far reaching difference between archives and historical manuscripts, if we understand how they got away and why they ended up elsewhere.

Because of this kinship between certain archival records and historical manuscripts, they are often complementary in content. The distinction between official and unofficial records of the same series of events is important to the archivist and the curator because the principle of provenance is directly involved, and the inclination of the amateur to interfile records of the same subject-matter must be resisted. Their complementary nature is also of great interest to the historian. He must be aware of the peculiar value and of the limitations of both kinds of records, and his zeal to search for the one in relation to the other should be matched by that of the curator in order to enrich his holdings. Frequently archives provide the framework for the historical narrative, related manuscripts the indispensable explanation of events and personal motivations. A survey made in 1945 of source materials on the First Congress of the United States, 1789-91, forcefully illustrates this relationship. The Journal and Debates, manuscript and printed, constitute the main corpus of official records, but they are woefully disappointing in content. More complete accounts of some of the proceedings were

²⁰ Howard H. Peckham, *Guide to the Manuscript Collections in the William L. Clements Library* (Ann Arbor, Mich., 1942), pp. 46-48; Lynette Adcock, *Guide to the Manuscript Collections of Colonial Williamsburg* (Williamsburg, Va., 1954), pp. 9-10.

²¹ Randolph G. Adams, "The Character and Extent of Fugitive Archival Material," in *American Archivist*, 2: 85 (April 1939).

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recorded by unofficial reporters and published in the newspapers, which also contain current commentaries on the members and their remarks. Contemporary letters of members discussing the views of fellow members as well as their own will be found among widely dispersed manuscripts in research libraries and in private hands.¹² The task of assembling these records in photographic copies for editing and publishing involves both archival and historical perspective and methodology. The archivist's approach to the segregation of official records is illustrated by the transfer in the spring of 1952 of the records of the Continental Congress, the Congress of the Confederation, and the Federal Constitutional Convention from the Library of Congress to the National Archives, where they more properly belong.¹³ The most valuable record of the Federal Convention is Madison's journal. Since it is an unofficial record, constituting a part of the Madison papers, it was left in the Manuscripts Division of the Library of Congress.

Any consideration of definitions of archives and historical manuscripts, along with their application, must not overlook printed records. The fact that most manuscripts are unique sometimes gives rise to the fallacious reasoning that therefore they are, without exception, more valuable historically and commercially than imprints. This distorted idea has gained credence in part from the steady disassociation of books—that is, printed books—from manuscripts during the centuries since the invention of printing from movable type, accompanied in the past 50 or 75 years by the development of library techniques for classifying and cataloging imprints usually available in multiple copies. In the fifteenth century and earlier, "books" were bound manuscripts as well as incunabula. Archives may include printed along with manuscript records produced by the organization or persons whose activities they represent; and it follows that any organic group of historical manuscripts may contain imprints. Likewise imprints may be found in a manuscript collection artificially assembled. The concept of the superior importance of manuscripts is sometimes unwittingly conveyed to students by academic historians in their endeavor to instill enthusiasm for the quest of unique original documents far afield

¹² [John H. Powell and Lois V. Given]. *The Debates of the First Federal Congress, 1789-1791: a Survey of Materials. A Report on a Preliminary Study Submitted to the Rockefeller Foundation, 1946* (Philadelphia, 1946. 76 pp. Lithoprint).

¹³ General Services Administration, *Annual Report on the National Archives and Records Service, From the Annual Report of the Administrator of General Services for the Year Ending June 30, 1952* (Washington, 1953). pp. 69-70; *American Archivist*, 16: 180-181 (April 1953).

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and seldom found by means of reference works. While this is a commendable purpose of their mentors, students must learn that the relative historical importance of manuscripts and imprints varies with the subject; and the custom of listing them in separate categories in bibliographies appended to historical studies does not always indicate their relative value.

The value of imprints *per se* associated with manuscript records won widespread recognition through the expanding avocation of the late Douglas C. McMurtrie, who issued facsimiles of rare American imprints and compiled numerous lists of them indicating their location in American and European repositories. He became director of the American Imprints Inventory, a project in the nation-wide Historical Records Survey of the latter 1930's, and his enthusiasm gave spark and zest to this undertaking of the Works Progress Administration. Experience repeatedly confirmed his assertion that some of the rarest broadsides, pamphlets, and newspapers are to be found among manuscript records. During the compilation of the *Virginia Gazette Index, 1736-1780*, a project of Colonial Williamsburg, a few issues of the newspaper, hitherto unknown, were found among the Colonial Office papers in the Public Record Office.¹⁴

Another condition that links the manuscript with the imprint is the marginal and other handwritten notations found in the latter. It is not unusual for owners (and borrowers) of books to write in them. What they jot down may be of considerable significance to the scholar, and the curator's scholarly proclivity will keep him on the lookout for such marginalia. By way of illustration we can cite Washington's practice of recording some of his diaries on blank leaves bound into almanacs; or the identification of books in Jefferson's library by means of the capital T which he was wont to prefix to the "I" (for "J") signature in his copies and the capital J he inscribed after the "T" signature.¹⁵ The genealogical record written in the family Bible is a common example of association of manuscript and imprint; and we should be grateful to those publishers who inserted between the Old and New Testaments blank leaves with a printed form for the convenience of the family scribe.

Classification of historical manuscripts into a few broad cate-

¹⁴ The *Index* was published in 1930 by the Institute of Early American History and Culture, Williamsburg, Va. About two years later 20 unique issues of the *Virginia Gazette* came to light among some family papers in Denver, Colo.

¹⁵ John C. Fitzpatrick, ed., *The Diaries of George Washington, 1748-1799* (New York, and Boston, 1925), 1:ix, xv-xvi; E. Millicent Sowerby, comp., *Catalogue of the Library of Thomas Jefferson* (Washington, 1952-), 1:xii.

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gories in terms of archival definitions, with due allowance for the inevitable exception to every rule, leads to the conclusion that numerous bodies of historical manuscripts are really archival records under an assumed name. Many a divorce and break of custody have occasioned a change of name, but the disguise does not effect a change of character. It is the inherent archival character of most historical manuscripts that is their most important attribute, and the value of imprints is often greatly enhanced by such archival association. While it is highly desirable that organizations should maintain their own archives if adequate facilities can be provided, and thereby serve the long-term objectives of historical research along with their own direct needs, the libraries of colleges and universities, of historical societies, and other similar research institutions will always be indispensable for the preservation of historical manuscripts. Many of these, *alias* archives, are thus assured their only chance of survival. For the reputable curator of historical manuscripts must be an archivist at heart to do his job well; indeed he is a kind of multiple archivist who succeeds best by the versatility of his relations with scions and relicts, heirs and heiresses, collectors and dealers, historians and antiquarians, and, not least, with Clio herself.

THE PRINCIPLE OF PROVENANCE IN ARCHIVES ADMINISTRATION

Theoretical Principles and Practical Problems

by Michel Duchein, Conservateur en chef,
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Since the second half of the nineteenth century, the principle of provenance has been regarded as the most basic of all archival principles. It is the application of this principle which most clearly distinguishes the archivist from the librarian on the one hand and the documentalist on the other.

Like most principles, however, it is easier to put into words than into practice. The basic concept can be established fairly simply ; but when an attempt is made to probe deeply into its theoretical aspects and to draw practical conclusions, it raises many difficulties which generations of archivists and theorists of archives administration have studied without finding clear answers which can be applied widely.

It is not intended in this article to restate all the basic facts on a subject to which many eminent theorists have contributed so greatly. The aim is more modest and down to earth ; it is to try to define the basic elements of the problem (particularly by pointing out the difficulties which so often arise, in this field as in others, from bad translation from one language to another, causing confusion and sometimes even making nonsense), and especially to look for firm examples which provide precise solutions, without allowing ourselves to be dragged into those aspects which are far too theoretical and whose abstract nature often causes confusion.

I. HISTORICAL DEFINITION OF THE PRINCIPLE OF PROVENANCE

Leaving aside until later all problems of interpretation, the simplest definition of the principle of provenance is as follows : archives of all kinds which have their origin (*provenance*)¹ in an administrative unit, an organisation or an individual should be kept together as a single entity, and not mixed with those of different

¹ We shall return later to the difficulties arising from the notion of *provenance*.

origin ; this single entity is known as the record group or archive group (*fonds*) of that administrative unit, organisation or individual.

As we are accustomed to thinking of archives as a natural product of the body which created them, it is not necessary to justify such a principle ¹:

(In French, we use the word *organisme* as a general term for all 'producers' of archives ; the Italians use *ente*, the Spaniards use *entidad*. The English words *agency* or *body* can be used in this sense, as can the German word *Provenienzstelle*).

However, this principle has not always been recognised, and it has appeared rather belatedly in the history of the archives. Up to the end of the nineteenth century, neither civil servants nor archivists in any country felt the slightest scruple in splitting up and dispersing documents of the same origin, or of re-grouping and mixing together documents of different provenance, when it was felt necessary for some or other reason of practical or intellectual convenience. As far as we are aware, it was the practice to arrange all archives according to 'subjects', 'persons', 'places', etc., which could be achieved only by breaking up the original order. This did not matter quite so much when the archives of a single agency (i.e. archives which were all of the same origin) were arranged in this way. It was much more serious when archives of different origins were brought together in the big archive repositories which began to come into being in the eighteenth century. That is what happened, particularly in Paris, where the French Revolution brought together in a single repository which was named the *Archives nationales* documents from sources as diverse as the '*Trésor des Chartes*' (Royal Charters), the archives of the Parliament of Paris, those of abbeys and convents in the Paris region, ministries of the royalist government, of émigré princes, etc., to which were soon added the papers of the new Assemblies and government departments created by the French Revolution. The first two directors of the *Archives nationales*, Armand Camus and Pierre Daunou, devised the plan of treating this mass of archives as a single assembly of documentary material divided into five chronological-subject 'sections' : 'legislative' for papers of the revolutionary Assemblies ; 'administrative' for papers of the new ministries ; 'domanial' for the titles of State property ; 'judicial'

¹ In the interests of simplicity and clarity, we shall use throughout this article the words 'produce', 'product', 'producer', when referring to the archives created by an agency. We are in fact aware that, while some documents in a file have actually been *produced* (created) by the agency which keeps the file, others have been *received* by it. The term 'produced' is not therefore strictly accurate and sufficient ; but to be more precise would lead to semantic complications and cumbersome drafting which would be neither useful nor advantageous.

for the papers of tribunals ; and finally, 'historical'. This last 'section' was made up of documents considered arbitrarily to be specially interesting from an historical point of view which were extracted from the other 'sections'. These documents were arranged (or supposedly arranged) by places, dates, reigns of kings, etc. in such a way that in many cases it has become impossible to find out the origin of documents, as they are all inextricably mixed up and dispersed ¹.

At that time this 'ideological' concept of the arrangement of archives was very widely held. This was the age of scientific classification systems like those of Cuvier for zoology, Linné for botany and Berzélius for chemistry. In the eyes of historians at that time, a document was considered to have an intrinsic interest, independent of its context, in the same way as in archaeological excavations - at Pompei, for example, or in Egypt at the time of Bonaparte's expedition - exhumed objects were considered interesting as items in a collection without any regard for the need to keep them in the context of the whole of the material found in the excavation.

That is why the 'structuralist' theory, as it was later called, which was stated in 1841 by the French historian Natalis de Wailly marks a vital turning point in the history of archives. Natalis de Wailly, the head of the administrative department for *Archives départementales* at the Ministry of the Interior, was the instigator of a circular, signed by the Minister Duchâtel and circulated on 24 April 1841, which gave birth to the idea of the principle of provenance. It read as follows : '...To assemble documents by archive groups, that is to say, to put together all the archives which come from a body, establishment, family or individual, and to arrange the various groups in a particular order... Documents which merely relate to an establishment, body or family must not be mixed with the archive group of that establishment, body or family.'

Some days later, Natalis de Wailly, replying to criticism aroused by this very new concept, elaborated as follows : 'Arrangement by archive groups is the only real way to get regular and uniform order... If some theoretical method of classification is used instead of this method,...the archives will fall into a disorder which it will be difficult to remedy... With all methods of classification which are not based on provenance there is a great risk that it will become impossible to retrieve a document.' ²

¹ On this subject see : G. Desjardins, *Le service des Archives départementales*, Paris, 1890, pp.33-35.

² G. Desjardins, *loc. cit.*, p.30.

The obvious theoretical advantage of such a principle (known in French as '*respect des fonds*'), no less than its practical value for the arrangement of archives, was soon recognised by archivists and historians from most European countries ; and it belatedly reached the United States of America at the beginning of the twentieth century. German archivists in particular adopted it, under the name of *Provenienzprinzip*, and went further in considering its implications. In English the equivalent of '*fonds d'archives*' is 'archive group' or 'record group' ; Italy and Spain have adopted the terminology of Natalis de Wailly by translating '*fonds*' as '*fondo*'¹.

It can be said that today, with some differences in meaning, the principle of provenance is everywhere admitted as the basis of archive theory and practice. Its occasional critics are concerned not with the principle itself but with one or other of its applications. There are good reasons for believing that it will never be fundamentally challenged and that it will remain a permanent tenet of archives administration².

II. THEORETICAL JUSTIFICATION OF THE PRINCIPLE OF PROVENANCE AND ITS PRACTICAL IMPORTANCE

From a theoretical point of view, the principle of provenance can be justified irrefutably on several grounds.

¹ The different shades of meaning between these different terms will be studied later.

² A serious infringement of the principle of provenance is however allowed, by reason of *force majeure* by certain theorists of archives administration. This concerns transfers of archives from State to State on the cession of territory or on the accession of new States on obtaining independence. Then, for want of anything better, a so-called 'principle of territoriality' is invoked, which ties the fate of the archives to that of the country concerned. This is in fact a simple example of the disastrous and reprehensible practice of a subject arrangement which we have shown to have great disadvantages both in theory and practice. When whole archive groups are so transferred from State to State the principle of provenance is not obviously violated ; but this is not the case when only certain documents or certain parts of archive groups are transferred. Most of the time archivists cannot prevent the dismemberment of archives when decisions are made by governments for reasons of international politics ; but this is not a reason for inventing justifications which are contrary to all sound archival principles. (On this subject see J. Papritz, *Neuzeitliche Methoden der Archivischen Ordnung* ; Report to the 5th International Congress on Archives, Brussels, 1964 ; *Archivum*, XIV, 1964, pp.32-34.)

By definition, archives are 'all documents of all kinds which accrue naturally and organically as a result of the functions and activities of any administrative organisation, body or individual' ¹; to which we would add... 'and which are kept for reference purposes' ².

Unlike an item in a collection of documents or in a file made up of heterogeneous papers from different sources, an archival document exists only as an integral part of an archival entity.

It is created in a functional process of which it is itself an element, however trivial. The archival document is never conceived as a separate element. It is always utilitarian in nature; and this can only be seen clearly when it has been kept together with other documents which relate to it. Theodore R. Schellenberg gives the excellent example of a map which was in the archives of an expedition of exploration ³. The fact that it existed there was, in itself, an important historical fact about this expedition; the same map, removed from these archives and placed in a map library would lose much of its significance. Similarly, Sir Hilary Jenkinson gives the example of a newspaper cutting kept in a file in the Foreign Office archives, which takes on a special historical importance by reason of the subject of the file in which it is kept.

Consequently it can be seen that in order to appreciate the significance of a document, it is essential to know exactly who created it, in what circumstances, for what purpose, when and how it was received by the addressee, and by what means it reached us. It is only possible to know this when all the accompanying documents have been preserved intact as a distinct entity and have not been mixed up with documents from some other source, however relevant the latter may be to the subject.

The practical importance of this method seems to be obvious, as it provides the archivist with a firm basis for arranging and describing ⁴ the documents. If the principle of provenance were not followed, all work on archives would only be arbitrary, subjective, and lacking in discipline, for if subject matter were taken

¹ *Manuel d'archivistique*, Paris, Direction des Archives de France, 1970, p.22.

² The addition to the definition is taken from Sir Hilary Jenkinson, *A Manual of Archive Administration*, 2nd edition, London, 1937, p.4.

³ T.R. Schellenberg, "Archival Principles of Arrangement", *The American Archivist*, vol.24, no.1, Jan. 1961, pp.11-24.

⁴ 'Description' is used here as an equivalent of the French 'inventaire'.

as the basis for classification, the documents could be arranged in two or three different ways. For example, the estimate given by an architect for the construction of a building in a town could be classified according to the subject, the name of the architect, or the name of the building. Questions of this kind would not arise if the document were kept in the administrative file on the construction of the building, and if this file is preserved in the archive group containing the town archives.

III. THEORETICAL PROBLEMS, PRACTICAL DIFFICULTIES AND PROPOSED ANSWERS

We shall not go as far as to agree with the obviously exaggerated and unfair assertion of the American archivist Mario D. Fenyo that 'nobody quite knows what the word *fonds* means, not even the French who invented it'¹, but we must admit that the definition of *fonds* given by Natalis de Wailly and which we have been considering up to now does leave a number of theoretical and practical points of uncertainty and difficulty. We must now take a close look at them, looking respectfully to archive theorists who have studied these matters for more than a century, but with whose conclusions we do not always agree.

These problems and difficulties are concerned essentially with five points : the definition of the archive group in relation to the hierarchy of agencies producing archives ; the effects on the archive group of changes in the scope of functions of producing agencies ; the definition of 'provenance' ; the definition of the 'closed archive group' and the 'open archive group', with the consequential problems posed by the arrangement of 'open archive groups' ; and finally, the extension of the principle of 'external' provenance (maintaining the integrity of the archive group) to the principle of 'internal' provenance (maintaining the arrangement given to the records by the producing agency, and the internal divisions of the group). On each of these five points we shall suggest answers to the questions they pose and solutions to the problems which arise from them.

1. DEFINITION OF THE ARCHIVE GROUP IN RELATION TO THE HIERARCHY OF BODIES PRODUCING ARCHIVES

The definition of the archive group in relation to the hierarchy of bodies which produce records has always presented difficulties of a basic kind.

¹ Mario D. Fenyo, "The Record Group Concept, a Critique", in *The American Archivist*, vol.29, no.2, April 1966, pp.229-239.

Let us take an example. It is easy to define the archive group for an abbey, a hospital or a tribunal ; it is (to use the words given in the *Lexicon of Archive Terminology*, edited by Elsevier)¹ 'all documents which accrue in the exercise of the activities' of this abbey, this hospital or this tribunal. There is no difficulty of interpretation because the abbey, hospital or tribunal are well-defined bodies with an exact and lasting legal identity.

But in contrast to simple cases like these there are many examples where the complex organisation of functions and the hierarchical relationships between different parts of the agency make it difficult to define archive groups.

---Every ministry, every large administrative or judicial body is divided into sectors of activity, which are themselves subdivided into sub-sectors, each with its own field of responsibility ; and each has more or less its own records. For example, a ministry is split up into divisions, and the divisions into branches. In such cases should we speak of an archive group for the ministry, for the divisions or for the branches ?

---In most countries central or federal government departments have local offices outside the capital city. Should each of these local offices be considered 'to have created its own record group, or should there be a single group for the records created by all the local bodies belonging to the same department ? For example, should the various revenue offices responsible to the Ministry of Finance (at provincial, regional, district, etc., level) form a single group with the Ministry itself, or separate groups ?

---Do establishments or agencies which are responsible to a superior government department create their own archive group, or are their archives simply part of the group for their parent departments ? For example, are the archives of a research institute which is responsible to a university simply part of the archive group of that university, or should they be considered to form a separate group ?

---Even with private archives there are problems of a similar kind : thus, in the case of industrial establishments or a chain of banks belonging to the same company, or in the case of several estates belonging to the same owner.

Many more examples can be given, particularly when complex changes in the organisation of administrative functions are so frequent : we shall return to this later.

Faced with this difficulty we can adopt two different intellectual positions which we shall describe as 'maximalist' and 'minimalist'.

¹ Amsterdam, London, New York, 1964.

The first position is to consider that the functional unit (to which, we must remember, the archive group is closely linked) is at the top of the organisation, and to define the archive group at that level. Thus in this case all the archives originating in all agencies and establishments within the same ministry will form a single archives group.

The second approach, on the other hand, is to reduce the archive group to the level of the smallest possible functional unit, on grounds that it is the activities of this small unit which really create an organic growth of archives.

It is obvious (in contradiction to what some very abstract and theoretical studies would have us believe) that this problem has some very direct and immediate practical effects on the work of archivists. Once the principle of provenance (that is to say the maintenance of the integrity of the archive group) has been admitted, it is essential to know exactly how to define what is to be kept intact.

It must be said that no clear solution to the problem has so far been found. Sir Hilary Jenkinson (who discussed it at length in his *Manual of Archive Administration*, 1937 edition, p.100 et seq.) thought that the archive group could be defined as 'archives resulting from the work of an administration - whatever its size - which was an organic whole, complete in itself, capable of dealing independently, without any added or external authority, with every side of any business which could normally be presented to it'. This definition is neat and attractive, but in fact it does not resolve a great deal, for no administrative authority has power to control its affairs 'without any added or external authority'. As for the ability to 'deal independently with every side of any business which could normally be presented to it', it can be said that no longer can any administrative organisation conform to this requirement; for it is a feature of all administrative process that it is always dealt with successively at different levels, all dependent on each other.

In the United States, when arrangement by archive groups was introduced in the National Archives, this question of the scope of groups was discussed at length by the Finding Mediums Committee (1940-1941), with whose work Mario D. Fenyo has made us aware¹. It was Solon J. Buck who eventually accepted the following pragmatic definition of a record group as 'an archival unity established somewhat arbitrarily according to the provenance of the records and to the need to produce a collection of a size and kind which is suitable for facilitating the work of arrangement and description'. This means that in practice the group is most often related to the basic unit of administration, and that as a matter of convenience several identical agencies could be brought together in 'collective

¹ See above, p. , note 1.

record groups'. Criticism has been expressed ¹ at what has been considered to be a vague approach to the problem, but in fact the definition of the record group used by archivists in the United States only admits openly to the widespread lack of precision which elsewhere is discreetly concealed.

In fact, if the archive group is made to correspond with an organisational unit which is too small (the approach which we have called 'minimalist'), there is a risk that the group will lose its real significance.

The archives produced by a division of a ministry or any other organisation are certainly separate from those of other divisions ; but they are closely related to them, and can no more be considered as a totally independent corpus of records than the division itself can be regarded as autonomous.

For that reason we shall propose that the body which gives rise to an archive group should conform to the following criteria ² :

a) In order to produce an archive group, in the meaning of this term given by archivists (that is to say, an assembly of documents which must not be broken up), a public or private agency must have a name and a legal existence which is based on a formal dated instrument such as a statute, decree, etc. ³

b) It must have precise and established functions which have been defined by an appropriate legal instrument.

c) Its position in the administrative hierarchy must be defined precisely by the instrument which created it ; in particular, its subordinate relationship to another organisation at a higher level should be clear.

d) It must have a director with authority corresponding to his position in the administrative hierarchy. In other words, he must be able to conduct the business for which he is responsible without automatically having to submit matters for decision at a higher level. (This does not mean of course that he can take decisions in all matters ; some important matters may have to be submitted for decision at a higher level. But in order to have

¹ For example, the very caustic criticism by Peter J. Scott in *The American Archivist*, vol.29, no.4, Oct. 1966, pp.493-504.

² As can be seen, our definition is in the spirit of that given by Sir Hilary Jenkinson, but it is more precise, and we believe that it leaves less room for subjective interpretation.

³ Precise dating is sometimes impossible when bodies were established many years ago, but this does not invalidate the general purpose of the definition.

the degree of independence necessary for the creation of its own archive group the agency must at least have the power of decision over some of its business.)

e) Its internal organisation must as far as possible be known and laid down in an organisation chart.

The following are the consequences of applying these five principles :

---the internal divisions or sections of an organisation do not provide the conditions necessary to produce an archive group ;

---on the other hand, an archives group is produced by an organisation which is a legal entity with its own field of responsibility, even if it is subordinate to another organisation at a higher level ;

---local bodies which are responsible to a central agency produce their own archive groups ;

---finally, it seems inescapable that a new principle should be introduced. This is the principle of the 'hierarchy of archive groups', which makes the groups correspond to the hierarchical order of the producing bodies, bringing about the subordination of some record groups to others.

2. CHANGES IN THE FUNCTIONS OF AGENCIES PRODUCING ARCHIVES AND THEIR EFFECTS ON ARCHIVES ADMINISTRATION

Very closely related to the preceding matters are the problems which arise when the functions of agencies producing archives are changed.

These are the principal points :

a) When functions are abolished. Any agency which produces archives can at some time have one of its functions abolished because there is no longer a need for it (for example, the functions are abolished by repeal of legislation).

b) When new functions are created. On the other hand, new responsibilities can be given to an agency (in response to new demands, particularly when new legislation is introduced).

c) When functions are moved from one agency to another. Functions are sometimes transferred from one agency to another ; such transfers amount to the abolition of a function in one agency and the acquisition of a new function by another. But it often happens that transfers take place within agencies, that is to say, the responsibility passes from one of its divisions to another.

When such transfers occur the function is sometimes modified, reduced or increased.

d) When functions are temporary. Some responsibilities which relate to temporary needs - for example, in time of war - are sometimes given to existing agencies in addition to their normal duties ; they are abolished once the need which caused their introduction has ceased.

These various kinds of changes in function, and other variations of them, are usually reflected in changes in the structure of the agency : the creation or abolition of sections or divisions, the establishment of new bodies attached to or subordinate to existing agencies, or transfers of a section from one agency to another.

Consequently, since the archive group is made up of all documents produced by the activities of a given agency, the group for a body which has been affected by additions, losses or transfers of functions will contain documents relating to all these changed functions ; and this may make it difficult for searchers to reconstruct the administrative continuity of the agency, or even the chronological and logical sequence of its activities.

Some theoreticians have proposed to remedy this difficulty by substituting the principle of the group by that of the 'record series' ; (this can be translated into French by '*suites archivistiques*' rather than by '*série d'archives*', as the word '*série*' has quite a different meaning in French archival language). These 'record series' would be assemblies of documents independent of the administrative context, or in other words, classes of documents forming a chronological and logical series, whatever may be their provenance ¹.

It can readily be seen that this apparently attractive system is not unlike the old system used before Natalis de Wailly : classification by subjects (or *Pertinenzprinzip*, as the Germans say). Those who propose such a deliberate violation of the principle of provenance may be acting sincerely and in good faith ; but they are wrong, and we should not support such a gravely mistaken practice, which would have serious consequences. As Sir Hilary

¹ Peter Scott, *op. cit.* According to this article, the 'record series' system has been used in the Commonwealth Archives Office in Canberra, where it is considered to be a flexible system. That is the least we can say about it. Dr. Papritz, in his report to the International Congress on Archives held in Brussels in 1964 (*Neuzeitliche Methoden...art. cit.*, p.18) alluded to a similar practice ('when a series of registers is begun in one agency and continued in another ... there is technically no doubt that they form a continuous unit') ; we agree that they are a single unit, but the registers still belong to two different archive groups.

Jenkinson has so strongly expressed himself : 'whatever else is done we must not destroy the integrity of the archive group'.

We fully agree with the opinion expressed by Sir Hilary, which is the only one which is compatible with the principle of provenance. It is in fact important to remember that, when the archive group is defined according to the rules set out above, it does not matter what changes are made in its contents : the archive group is made up of all the papers produced by an agency in the course of its activities, whatever may be their subject matter. From an archival point of view the fact that there may be changes in functions which lead to changes in the contents of archive groups is therefore not a problem. When a function of an agency is abolished, without being transferred to another body, the archive group of that agency will simply cease to contain documents relevant to that function ; but the nature of the group is not changed. It is the same when an agency acquires a new function.

However, a very real difficulty exists in the case where *transfers of functions* lead to *transfers of papers* between agencies. In theory, the records relating to the transferred function should, up to the date of transfer, belong to the archive group for the agency which previously exercised the function, and from that date to the group for the agency to which the function was transferred. Unhappily it is rarely so clear in practice ; for, in order to be able to perform the new function transferred to it, the second agency almost always needs to take over at least some of the relevant records from the first agency ; these documents, which logically belong to the record group of the first agency, are then incorporated into that of the second agency, and will eventually come into the Archives with its other archives.

We propose the following solutions to this problem :

a) As a general rule records which have been transferred from one current agency to another and have been incorporated with records of the latter should be regarded as belonging to the archive group of the body to which they were transferred. Thus if a function has been transferred in 1960 from agency A to agency B, and agency B has then taken over relevant records of agency A going back to 1950, these records will be regarded as being part of the archive group of agency B, even though the transfer of the function took place ten years after the date of the oldest records in question ¹.

b) When a current agency is given functions formerly performed by a defunct agency, the records of the latter must be regarded

¹ We shall see later how the disadvantage of such transfer of documents can be partly remedied in the finding of aid for these groups.

as forming a separate archive group. Thus, let us imagine that a certain function was exercised up to 1965 by agency C which was abolished in that year, when its functions were transferred to agency D. Records before 1965 are in the archive group of agency C, which is quite distinct from that of agency D. On the other hand, records relevant to the transferred function from 1965 are obviously part of the archive group of agency D.

c) However, when records of agency C have been wholly, inextricably and irreparably mixed up with those of agency D, it will be necessary to abandon the idea of considering the archive group of agency C as a separate entity. In this case the inclusion of these records in the record group for agency D will be indicated in the heading of the finding aid for that group.

These rules apply generally in all cases where records of abolished agencies have been taken over by other bodies (including private records as well as those in the public sector, to records in notaries' offices, those of feudal estates merged by marriage or sale, etc.) : the archive group of the abolished agency should always be regarded as separate from that of the agency which took it over, unless the combination of the two groups is so irreversible that it is impossible to distinguish one from the other ¹.

3. WHAT IS MEANT EXACTLY BY THE TERM 'PROVENANCE OF AN ARCHIVE GROUP' ?

What we have just said about the archives of defunct agencies whose functions have been combined with those of other agencies leads us to raise another question of the principle of provenance : the meaning of the word 'provenance' itself.

Most definitions of the principle which in the French language is called '*respect des fonds*' are so linked with 'provenance' that in German-speaking countries, and in several other countries, the equivalent expression is 'the principle of provenance' : the archive group (*fonds*) is defined as an assembly of documents with the same 'provenance' ; but when the precise meaning of this latter word is considered, some ambiguity arises. Let us take some examples to illustrate this.

There is no difficulty in interpreting the principle when the group produced by an agency has been kept by that agency, with

¹ It is therefore only with considerable reservations that we can accept the formula *quieta non movere* by which some archivists express their preference for keeping record groups in the order in which they are transferred to the Archives (cf. J. Papritz, *Neuzeitliche Methoden*, art. cit., pp.30-32.

no additions or losses, up to the time of its transfer to the Archives, and when the transfer is made by the producing agency.

But this simple procedure is not always followed. We know that the archive group of one agency may have been transferred to another agency for administrative reasons, and that it could there either a) be kept together and continue as a separate group, or b) be broken up and mixed with the records of the agency which has assumed the functions. In the first case, identification of the original group is still relatively simple ; but when it is transferred to the Archives, what would be its provenance ? Would it be that of the *originating* agency or the *transferring* agency ?¹

The first solution seems, of course, more logical (this is the formula *entidad productora* of Dr. Aurelio Tanodi) ; but in practice it is always likely to come up against almost insurmountable difficulties if, as a result of the vicissitudes of history and administrative change, the originating agency in question has over the years changed its name, its structure and the scope of its responsibilities.

The other solution - that of tying 'provenance' to the transferring agency - is certainly simpler and gives rise to fewer practical problems. There is, however, a risk of creating theoretical absurdities inasmuch as some archive groups which originated in several different agencies could be transferred by a single agency ; and, by applying literally the principle of provenance it could be said that these mixtures of groups which were transferred together have the same 'provenance'.

It can be seen that these two approaches have disadvantages of different kinds. However, there seems to be little doubt that those of the second are infinitely more serious than those of the first.

We shall therefore suggest the following solution, which is linked with our proposal for dealing with the problem of changes in the scope of functions of agencies which produce archives :

---When an archives group has preserved its individual identity its provenance should be considered as that of the agency which produced it, even if it had been held by one or more other agencies before transfer to the Archives ; in this case provenance is related to the agency which produced the records, not to that which transferred them.

¹ Archive groups which contain documents of different origins (that is, which were produced by different agencies) are known in German terminology as '*Mischfonds*' or '*Mischbestände*' (mixed archive groups). This is a useful term, but as it is not used in French practice, we prefer not to use it here. See J. Papritz, *Neuzeitliche Methoden*, art. cit., pp.27-32.

---On the other hand, when in the course of its life an archive group has lost its identity by having been broken up or incorporated into the archive group of an agency different from that which produced it, its provenance should be considered as that of the body which took over the records and incorporated them into its own archive group ; in this case the provenance is therefore related to the transfer of the documents and not their production.

4. 'OPEN' AND 'CLOSED' ARCHIVE GROUPS

When an agency is abolished, the archive group which it created is automatically 'closed'. That is obvious with bodies, establishments, administrations, etc., of the Middle Ages and the period before the revolutions of the nineteenth century - the various institutions of the feudal age in Europe, or of the colonial era in America. This can be obvious in the case of institutions which have changed their name and their functions at some exact date (for example, on the occasion of some administrative or judicial reform). But this is much less clear in the rapidly changing field of modern administration, where it is often difficult to say exactly when an organisation ceases to exist, or simply changes its name or its place in the administrative machine.

It is also clear that until an archive group is closed, it is not complete. That is why Italian archivists do not give the name 'archives' to modern administrative documents, for they consider that an essential characteristic of an archive group is that it should be 'closed' ¹. It is our opinion, however, that such rigidity is quite unjustified, as every record created and kept by an agency belongs to the archive group of that agency ; and this means that the group exists even if it is not complete and closed. That is also why French archivists, who on this point have inherited the logical thinking of Natalis de Wailly, refuse to distinguish between 'current archives' ('records' in American terminology) and 'historical archives' ('archives' in American usage). Both belong to the same groups and consequently cannot be considered as different. That explains the basic difference between the American use of 'records management' and the French 'pré-archivage' ².

¹ For example, see the article by Elio Lodolini, *Identificazione dell'archivio*, *Rassegna degli Archivi di Stato*, XVIII-3, Sept.-Dec. 1950, pp.306-321.

² On this point see G. Duboscq and A.W. Mabbs, *Organisation of intermediate records storage*, Paris, Unesco, 1974, 78p., and M. Duchein, "Le préarchivage : quelques clarifications nécessaires", *Gazette des Archives*, no.71, 4th quarter, 1971, pp.226-236.

However, it must be recognised that from a practical point of view the processing¹ of open record groups presents problems which are sometimes difficult to resolve, if it is considered desirable to preserve the integrity of the archive group.

The following solutions are offered for the definition of closed and open archive groups in cases where there is doubt about the continued existence of an organisation (that is to say, when it is difficult to decide if an agency really ceased to exist or if it carried on under another name) :

---If there is obviously a continuity of function between the abolished agency (A) and the successor agency (B), it can be considered that there is really only a simple change of name and/or a simple handover by agency A, and that the archive group of A is not therefore closed, but has simply changed its name. This decision to keep a group open (that is, to regard the records of a defunct agency and its successor as forming a single group) should be taken only when there is no possible doubt or uncertainty about the continuity of the two agencies. When there is any doubt about making this decision, the question should always be answered in the negative : the archive group of the defunct agency must be considered as closed, and a new group should be opened for the new agency.

---If the abolished agency C has transferred its responsibilities to agency D, which was in existence before C was abolished, the archive group for agency C is closed : the group for the archives of agency D becomes the successor to the group for the archives of C, and remains separate from it.

---If a new body E is created to exercise the functions of several abolished agencies (F, G and H), the archive groups of agencies F, G and H are closed ; the group pertaining to agency E is their successor, and is quite separate from them.

---In the case of archive groups for abolished agencies which have been incorporated in the groups of successor agencies and mixed up with them, we refer to what we said above on the question of the provenance of record groups. These are of course closed groups, but inasmuch as they have lost their identity owing to their integration with open groups, they can no longer from the archival point of view be treated as autonomous groups; the problem with them is therefore more theoretical than practical.

On the other hand, we should remember that an archive group remains open as long as the agency which produces it continues

¹ In French archival language, 'to process' (*traiter*) a record group means to appraise, to arrange, to assign references and to describe its contents ; in other words, it covers all the operations by which an archivist makes documents available for research.

to function ; and this could be for centuries (for example, the groups containing archives of the British Parliament or the Roman Congregations). It is very obvious that archivists cannot wait until these groups are closed before processing them. It is therefore necessary to use an on-going method of processing which preserves the notion of the unity of the group while dividing it up in a way which allows the archives to be used. We shall see in a later paragraph how this should be done.

5. DOES THE PRINCIPLE OF PROVENANCE IMPLY THAT THE ORIGINAL INTERNAL ARRANGEMENT SHOULD BE KEPT ?

Here we deal with what is perhaps the most difficult question raised by the principle of provenance.

This principle, we should remember, is defined most simply as keeping together all the archives which originate in a given agency, and not combining them with archives from other sources ; but this primitive version of the definition says nothing about the internal arrangement of documents within the group.

It was in fact implicit in the logic of the principle enunciated by Natalis de Wailly that it was necessary to maintain intact not only the group itself, but also, at least in theory, its internal arrangement. That is what German archivists call *Strukturprinzip*, a natural complement to *Provenienzprinzip*, and what has become today an integral aspect of the principle of provenance, as has been expressed in 1898 in the well-known Dutch *Manual for the arrangement and description of archives*, by S. Muller, J.A. Feith and R. Fruin.

The words used by Muller, Feith and Fruin are as follows : 'The arrangement of archives within a group should be based on the way in which they were originally organised, which would correspond broadly to the organisation of the administrative body which produced the archives.' As there is a risk of this statement being considered unduly optimistic, the Dutch authors add that it is first necessary to re-establish the original order as far as possible ; only later will it be possible to judge whether and to what extent we should deviate from that original order ¹.

This last quotation extends the principle which requires the maintenance of the structure of the archive group to its internal re-arrangement when the original order has been lost. This reminds us of architects at the time of Viollet-le-Duc, who wanted to restore

¹ S. Muller, J.A. Feith and R. Fruin, *Manual for the arrangement and description of archives*, The Hague, 1910, p.32.

as far as possible (and even more than possible) the original state of monuments with which they were dealing. It is a well-intentioned approach, but it does open the door to many abuses of an arbitrary nature. Neither the historian, the archaeologist nor the archivist should be allowed to reconstitute the destructive effects of time, except in rare cases when it is possible to effect an exact reconstruction with certainty, and with supporting evidence. We must then reject this method of 'restoration' (*Restauratiebeginself*) as an unjustifiable extension of the principle of provenance ; but the theoretical and practical value of the principle of preserving the structure of the archive group (more simply, the principle of structure) still remains.

It is easy to see that the application of this principle bristles with difficulties. They follow directly or indirectly from the changes which we have seen above in the functions of bodies which produce archives : the internal structure of archive groups naturally reflect these changes. But more frequently other difficulties arise from the fact that the producing bodies themselves have no respect for the 'principle of structure' when arranging their current records.

It must be admitted that in general the records of the major internal divisions of a given agency more or less keep their individual and self-contained identity, if only because administrative requirements make this convenient ; but this no longer holds good when those divisions change their structure, their functions, or both. In any case, inside any division the current records are kept in any one of a hundred different ways according to the needs of a particular situation : possibly according to a classification scheme which is based purely on the organisational pattern of the department, or simply by subject, that is to say by categories of business dealt with (in such cases the decimal classification system is often used) ; or by a mixture of these two methods, half-organisational and half-subject ; or even - and this is more common than we think - with no classification method at all for the current records, which are kept in disorder, each member of staff or section-head having his own way of keeping his papers which is quite incomprehensible to anyone else. Of course, all these systems can exist at the same time, or can be used successively inside the same body ; and it is easy to see the chaos which can result from this. There are also those records from different sources, each of which may have had its own more or less satisfactory arrangement, but which, as the result of the abolition and joining together of responsibilities of different agencies, are transferred to the Archives all mixed up with the records of the agency which acquired the functions concerned. We have therefore a rough idea of all the different kinds of muddle in which archive groups are found when the Archives have to arrange and store them ; and this muddle is often at its worst at the time the records are transferred, owing to the rough handling which they may then suffer.

In these conditions what becomes of the attempt to preserve the internal structure of the archive group ?

It is tempting when faced with such a complex situation to say that there is no solution and to abandon the idea of making the 'principle of structure' an archival rule with the same force as the 'principle of provenance'. But it would be wrong to do so, as these principles both follow from the 'organic' notion of archives, which, as we have seen, is fundamental. They are linked together and cannot logically be dissociated.

Before we continue we should at this point clarify a very important matter. In countries with a German administrative tradition (and to a less extent in countries with an anglo-saxon tradition) government agencies have special sections called registries (*Registatur* in German), whose role is to register all documents received in that agency and to classify them, or in other words to provide them with a means of reference (letters, numbers, etc.) corresponding to a pre-established classification system. These registries have therefore a real function in classifying current records at a pre-archival stage; and the archivists of the countries with a German tradition tend for this reason to insist on keeping to the arrangement given by the registry; that is the most straightforward and obvious form of the 'principle of structure'.

Unfortunately, in countries with a Latin (Spanish, French and Italian) administrative background, there is generally speaking nothing like the registry. Classification of government records, if it exists at all, is done by the administrative sections themselves¹. That is why many of the theories on the 'principle of structure' which are enunciated by archivists of the German tradition cannot be applied to archives in countries with a Latin tradition, or, more precisely, are not relevant to any actual situations found there. That is one of the main reasons why archive theory in Central European countries cannot be applied without modification in countries with a Latin background - and vice versa.

Later in this article we shall examine this question from the point of view of archivists in Latin countries, that is to say, those countries where there is no registry system.

¹ Some large government departments in France have, or have had, '*bureaux d'ordre*' or '*bureaux d'enregistrement*' which registered incoming and outgoing mail; but in Latin countries they almost never play a real part in the classification of records. The nearest equivalent to the German *Registatur* in France are the *greffes* of tribunals. The sections known as 'Organisation and Methods', which have been growing in number in the past few years, draw up schemes and rules for the classification of current records, but it is not their job to set up the systems themselves, and their real influence over the classification of current records is minimal.

To see how the principle of maintaining the internal structure of a group can be applied to its arrangement, we must distinguish between several examples, each with its own solution.

a) **The case of agencies with a simple structure.** By 'agencies with a simple structure', we mean those bodies which usually employ few staff and whose functions are not divided between a number of departments or sections, each with its own precise field of responsibility.

In such a case, if the agency employs some kind of classification method for its current records (whether alphabetical, subject or otherwise) the archivist will adhere to this arrangement, improving it if necessary ; but that classification system may be changed if it is too defective or inconvenient for research purposes.

If the agency does not use a classification system for its current records there is all the more reason for the archivist to provide an internal arrangement which in his opinion is the best possible ; for in this case the archive group has no internal structure which has to be maintained.

b) **The case of agencies with a complex structure.** Agencies which have many staff and multiple functions are generally, as we have seen, divided into units (called divisions, departments, branches, sections, etc.), each of which performs specific functions.

It is obvious that the records produced by each of these divisions (using this general term as a matter of convenience and to avoid repetition), while not forming separate groups, make up organic entities which must be left intact in order to conform with the principle which requires maintenance of the internal structure. There is therefore every reason for taking these divisions as the basis of internal arrangement of the archive group of the agency, each of the primary divisions of the group corresponding to one of the divisions of the agency.

Unfortunately, these divisions are rarely left unchanged ; they are re-shuffled, and their respective responsibilities altered with a frequency which nowadays tends to increase.

Faced with this difficulty, two solutions are possible :

---If we want to keep the divisions of the agency as the basis for the arrangement of the archive group, we can divide the group into chronological blocks or periods determined by the dates when changes occur in the structure of these divisions ; and we can then arrange the documents in each of these periods. This solution is acceptable, and even to be recommended, if the changes in question are not too frequent, and if consequently the chronological breakdown is in sufficiently long periods (at least ten years) and with a fairly large degree of stability in internal organisation within these periods.

---On the other hand, if the changes in structure and responsibilities of the internal divisions of the agency are too frequent, we must avoid taking these divisions as a basis for the arrangement of the group, and consider the latter in the same way as an archive group of a simple agency without internal division ¹.

c) Is it necessary to adhere to the arrangement given to the archive group by the originating agency ?

There are some difficulties to consider when the archivist is tempted to keep exactly to the arrangement given to records by the agency which produced them.

A fundamental difficulty is that the classification given to records by producing agencies is never intended to last over a long period. Its purpose is essentially functional, pragmatic and not for long-term historical use. Therefore only occasionally does it correspond to methods used for classifying archives, which generally cover fairly long chronological periods.

Even if we adopt an arrangement based on fairly short chronological blocks, or if the classification given by the producing agency remains unchanged for quite a long period, there are difficulties to overcome. On the one hand, the arrangement given by the producing agencies may only be applied to some parts of the records ; on the other hand, this classification may be based on principles which are alien to archival methods and are closer to those used in libraries or documentation centres (decimal classification, subject arrangement, etc.), and which are sometimes even contrary to the principle of provenance (when there is a mixture of documents of various origins). Moreover, these classification systems are not always applied by producing agencies with strictness and continuity, and too often the adoption of a new system of classification by an agency leads to the dismantling of the previous system, sometimes going back several years.

In these conditions it would be illusory and dangerous to try to adopt systematically the arrangement given by the producing agency as the basis for archival classification. Before adopting this solution, the archivist must make sure (a) that the classification given by the producing agency has been effectively carried out, followed and retained, and that it was not pure intention and a vague wish to implement it ; (b) that this arrangement has been followed over a sufficiently long period ; (c) that it is not incompatible with the principle of provenance ; (d) that it covers all the records which comprise the group or the relevant part of the group.

¹ Cf. Th. Schellenberg, *Modern Archives*, Melbourne, 1956, p.62 : 'In a classification system, a breakdown into organisational classes is usually inadvisable ; for the organisational structure of modern government agencies is too fluid to provide a safe basis for the classification of their records.'

If all these conditions are not fulfilled, we believe that we should abandon the arrangement given by the producing agency and act as if the records had not been classified before coming into the hands of the archivist ¹.

To summarise, the question of maintaining the internal structure of the archive group suggests the following answers :

---When an archive group is divided according to the functional divisions of the producing agency, these separate parts of the group should as far as possible be taken as the basis of the arrangement of the documents ; but it might be necessary to abandon it if the functional divisions of the agency change their structure and responsibilities too often.

---When an archive group, or a part of that group, has been classified by the transferring agency, that method of arrangement can be kept as a basis for archival classification, provided it has lasted over a long period, is compatible with the principle of provenance and has been correctly applied. If these conditions have not been met, the archivist can use this arrangement as a basis for his own work, but he need not follow it blindly.

---In all other cases, the archivist can legitimately give to the archive group or to part of it the method of arrangement which he considers to be the most suitable, basing it, of course, as far as possible on the internal structure of the producing agency but not being bound to reflect all the details and changes of the structure in the method of classification which is used.

d) The arrangement of archive groups in chronological blocks. In the course of this article we have referred in several instances to the arrangement of archive groups in chronological blocks or periods.

Is such a method legitimate and compatible with the principle of maintaining the internal integrity of the group ? At least in theory there is no doubt that it is better to avoid resorting to this method whenever possible, that is to say, when processing a closed record group of an agency whose internal structure and responsibilities have not suffered too drastic changes in the course of its history. But arrangement in chronological blocks is a practical necessity so obvious that, in spite of theoretical reservations, it has to be adopted by archivists for all open groups (that is,

¹ As can be seen, this view is rather different from that of most German archive theorists ; but we should remember that their opinions are based on the registry system, which we have deliberately not discussed here. Our opinion is based on experience of classification, or pseudo-classification, implemented (or supposedly implemented) by French government agencies, with results which, from the point of view of archives administration, are often insignificant and sometimes disastrous.

groups for which archival processing is not a once-and-for-all operation), as well as for closed groups whose structure does reflect changes in organisation and function of the producing agency.

However, three rules must be observed if we want to prevent a complete break-up of archive groups when we use this method :

---First, chronological periods chosen as a basis for arrangement should be long enough to produce a coherent assembly of archives (ten years is the minimum).

---Second, these periods must correspond to periods which are significant in the history of the agency producing the archive group, and their limits should not therefore be chosen arbitrarily.

---Finally, in order to carry out the archival processing of a chronological block, all the documents for that period must be brought together, so that the whole of the documents in that block can be processed at the same time.

Once these three conditions have been met, it is then possible to process each chronological block as if it were a closed group. However, as each block is only part of the group, it is necessary as far as possible to process it in exactly the same way as the preceding block, so that the work of the future researcher can be facilitated.

It follows that the processing of a group by chronological blocks does not conflict with the principle of maintaining the internal structure of that group ; in fact, it applies more exactly to the contents of each chronological block, because they have all been made to correspond with the dates of major changes in internal structure and function of the producing agency.

We must stress that what we are discussing here is the archival processing of chronological blocks.

Consequently, this implies that the processing is only undertaken a fairly long time after the closure of a chronological block, in order that we may be sure that no archives for the period are still in the hands of the originating agency. (As an example, in France the archival processing of documents at present only goes to 10 July 1940, which date marks the end of the 3rd Republic. All records later than that date only get a provisional processing.) As a general rule it can be accepted that a chronological block can be processed when all the documents within it have reached the date at which they can be seen by the public, when no more additions are likely to be made, and when there is no question of further appraisal and destruction.

e) Note on the terminology of arrangement and referencing of archive groups. We think it would be useful to give here some precise definitions of the terms used in archives administration for the various aspects of arrangement and referencing of archive

groups, for these terms often have a different meaning in different countries ; and if they are not properly understood, serious misunderstandings can arise.

In French, '*classement*' (as '*clasificación*' in Spanish) is used for all operations concerned with putting any kind of elements into order according to a pre-established scheme or plan. In the archival field, the word is used for different successive levels of operation :

---the arrangement of archive groups within an archives establishment ;

---the arrangement of items (files, bundles, volumes, etc.) within an archives group ;

---the arrangement of individual documents (pages or groups of pages) within an item.

In English, the sub-divisions of a group are often known as 'series' (sometimes sub-groups, which is much clearer). This English term 'series' is the cause of confusion in translation, for in French archival language, the word '*série*' has a quite different meaning : it is used for the major alphabetical divisions in which archive groups are placed in the Archives (for example, *série U* of the French *Archives départementales* takes in all groups originating in tribunals and judicial bodies ; *série T* has all groups originating in educational bodies). The primary divisions of *séries* are sometimes called *sous-séries*, each generally corresponding to an archive group ; but in some cases when a *série* contains a single archive group, the *sous-séries* correspond to divisions of the archive group, like the English 'series' or 'sub-group'.

As a general rule, all archival work on arrangement results in providing the documents which have been arranged with a means of identification. This process of giving a means of identification (sometimes wrongly called 'numbering') is known in French as '*cotation*'; the reference (*cote*) is generally an assembly of letters and figures in a certain order ¹.

Once the items have received their references, the archivist begins to prepare the finding aid for the group or series which is being processed. According to the degree of detail they contain finding aids in French are known as '*guide*', '*état sommaire*', '*répertoire*' or '*répertoire numérique*', '*inventaire sommaire*', '*inventaire analytique*'. Each of these terms is difficult to translate into other languages : thus an 'Inventory' in English is nothing like

¹ On this question of giving references to documents and the difficulties which it presents, see J. Papritz, *Neuzeitliche Methoden*, art. cit., pp.17-18. We have made only a brief allusion to it here, as it is only marginally relevant to this study.

an 'inventaire' in French (the English equivalent of 'inventaire analytique' is approximately 'calendar') ; 'catalogue' or 'catálogo' are used as equivalents of the French 'répertoire', while the French word 'catalogue' is kept as a rule for documents which do not form archive groups but are in collections of a heterogeneous kind. All the processes which go into the preparation of finding aids are called in English 'description', a convenient term which has no equivalent in French.

It can be seen from these few examples how essential is the need to have very precise definitions of archival terms in different languages in order to avoid misunderstandings and errors of interpretation which may have serious consequences. Many of the arguments and differences which arise at the international level are entirely due to misunderstandings.

IV. THE FINDING AID AS A MEANS OF SOLVING DIFFICULTIES ARISING FROM THE PRINCIPLE OF PROVENANCE

Everything which has been said up to now makes us return to the fact that most difficulties which arise in applying the principle of provenance follow from the contradiction between, on the one hand, the nature of the archive group as an organic product of the activities of the agency which created it, and, on the other, the needs of research which depend on the ability to make a methodical search for material on a given subject.

There is in fact a broad solution to these difficulties, although it is rarely advanced by those concerned with theoretical aspects of the principle of provenance. It is by the use of finding aids to reconstruct the sequence of documents whose continuity has been broken through changes in the structure and responsibilities of agencies.

This reconstruction of broken continuity can be achieved in several ways according to circumstances :

---If it is intended to make clear to searchers the succession of bodies which over the years have performed a given function, a table can be made showing the name of the agency which has performed the function in each period, with an indication of the references to relevant documents in the archive group of that body. It will serve as a kind of guide, which will direct the searcher to the group which interests him.

---If, on the other hand, it is the intention to make all the documents relevant to a given function accessible to searchers, we can prepare a catalogue or a descriptive list of relevant documents which are contained in different archive groups ; this is

almost the equivalent of reconstructing the 'record series' advocated by Peter J. Scott, but the reconstruction is achieved in the finding aid, thus fully preserving the integrity of the archive group.

---It is also possible simply to indicate other groups in which preceding or later documents may be found by using footnotes in the finding aid for a group or a chronological block of a group.

---Finally, alphabetical indexes or tables giving subject headings can make it possible, without affecting the arrangement of the documents themselves, to collect together for searchers all the documents relating to the same subject, person or place, etc., which are scattered among several groups or sub-groups.

Similarly, the finding aid can very well bring together a number of related groups (for example, a principal record group and its subordinate groups, or the groups of several small agencies with closely related or similar functions, etc.). It is obviously possible by this means to bring to light files dealing with the same subject which are kept by agencies with related functions ¹.

An analysis of the functions of agencies producing archive groups and the changes in them is an essential and fundamental aspect of archival work. Processing of an archive group cannot be conceived on a sound basis without such preliminary study. As Dr. J. Papritz very soundly remarked 'under the title of the series (that is, chronological sequences of documents), it is necessary to make clear the history of the functions : that is one of the tasks of the archivist which is often forgotten' ².

An archival finding aid cannot be restricted to an arid description of the documents in an archive group. An introduction about the body which originated the group, its history, its functions and changes in them, the history of the group itself, its formation and arrangement, must precede every list or catalogue. If this introduction is properly prepared, all the difficulties arising from the application of the principle of provenance are in practice solved. In my opinion, it is in this direction that we must in future press on with the research and work of archivists.

¹ See on this subject the article cited by Dr. Papritz, p.51.

² Art. cit., p.48.

You, my dear Mr. Papritz, were one of the first foreign archivists to show an interest in modern Dutch registry systems in which the classical formation of series in chronological or numerical order was abandoned in favour of a system of subject files, imitating an already well-established German practice.

Perhaps you will, therefore, also be interested to know that in the meantime we have tried to discover those principles of arrangement according to which the subject files of an agency might be organised, while at the same time we wished to find out how one should define these principles theoretically. It would be useful to acquaint our German colleagues with our ideas, for the very reason that your old teacher H.O. Meisner has himself dealt with this question by asserting that basically there are only two principles of arrangement, that of provenance and that of pertinence, upon which all other forms of arrangement are variations, whereas my colleagues Van der Gouw, Van Hoboken, Panhuysen and I have reached a different conclusion in *Nederlandse archiefterminologie* (Dutch archival terminology). Because you are, as a teacher at the Archive School in Marburg, particularly familiar with such problems, I take the liberty of devoting my contribution of honour to you to this subject.

In the Netherlands, only a restricted meaning has always been attributed to the term principle of provenance. S. Muller Fz., for the first time, defined the term in 1908: "The principle of provenance (*herkomstbeginsel*) is the method of archival arrangement according to which every document is brought to the archive group and to that section of the group to which it finally belonged when the group was still a living organism". In Dutch thinking the principle of provenance thus refers only to the provenance of the individual document. Therefore, it has nothing to do with retaining the internal arrangement imposed by the creating agency upon a body of archives as a whole. Obviously it can only be applied to archive groups which already have an internal arrangement. The question as to where each document should find its place in this arrangement was only partly answered by Muller, because he satisfied himself with mentioning the section to which the document originally belonged. We have preferred a more precise statement and *Nederlandse archiefterminologie* reads: "The principle of provenance is the principle that every archival document should be returned to the archive group from which it originates and, within that group, to its original place". The place in the registry where the document originally was, therefore, determines the task of the archivist, who has to arrange documents which have been detached from their former connection or which have been diverted elsewhere.

Next to the principle of provenance, which in *Handleiding voor het ordenen en beschrijven van archieven** by Muller, Feith and Fruin is only mentioned tangentially in the explanation to paragraph 18 regarding the division of bodies of archives (*respect des fonds*), the *Handleiding* in paragraph 21 introduced a notion which we have defined as principle of destination (*bestemmingsbeginsel*). The relevant paragraph clearly states that it is not the subject content of a document, but its destination which should determine the place which it must receive in the archive group.

*S. Muller Fz. - J.A. Feith - R. Fruin Th. Az., Manual for the arrangement and description of archives. Translation of the second edition by A.H. Leavitt (New York 1940).

** translated from German by F.J.C. Ketelaar.

It is an instruction in those cases in which an arrangement is imposed, where one did not exist before, the assumption being that it is quite clear for which institution the document was destined or to which institution, according to its nature, it ought properly to belong. We have defined it as follows: "The principle of destination is the principle that every archival document should be restored to the archive group to which, according to its nature, it is destined". While destination constitutes an active operation, provenance is to be considered as a derived or passive quality. The principle of destination, therefore, is something essentially different from the principle of provenance. One could even apply it when establishing a new registry system. When, for example, different agencies share a common administration, as nowadays is frequently the case in the smaller municipalities, it happens that the principle of destination is neglected by mixing up the records of two or three municipalities and arranging them in one archive group according to a decimal classification filing scheme. It could also be said that the principle of destination postulates the same with regard to the single document, as does the principle of *respect des fonds* with regard to the whole body of records of a single records creating agency.

You, Mr. Papritz, already rightly realized that retaining an internal arrangement imposed by the creating agency does not follow from the principle of provenance. This retention is indeed the pre-requisite for the application of the principle of provenance. Therefore, the section on principles of arrangement in *Nederlandse archiefterminologie* begins with the principle of archival structure (structuurbeginssel): "The principle of archival structure is the principle whereby an archive group is a whole, the historically determined structure of which should not be disturbed by a system of arrangement which is foreign to that archive group". In this definition, we have tried to introduce the regard for that which, in a biological metaphor, was once used to indicate an arrangement of organic growth, or as organism of an archive group. We have purposely dropped this metaphor, because it has been misunderstood in such a way that it was interpreted as a valid reason for the unconditional application of the principle of administrative structure. That the structure of a body of archives is conditioned historically, no one can dispute. But the retention of this structure entails the requirement to restore it if it was disturbed and, as has been said above, to replace single archival documents in their original places (*herkomstbeginssel*).

We have called the requirement to restore the internal arrangement imposed by the creating agency, the principle of restoration (*restauratiebeginssel*): "The principle of restoration is the principle whereby, when rearranging an archive group firstly, an order should be restored which formerly existed in that archive group; whereafter, improvements may be introduced which are in accordance with the main ideas underlying that order". This is the principle which underlies paragraph 17 of the *Handleiding* of Muller, Feith and Fruin, but which was therein, as I have tried to demonstrate in *Nederlands Archiefvenblad*, 1958/1959, partly mixed up with the principle of administrative structure. It is the same principle which in *Grundzüge einer deutschen Archivterminologie* (Principles of German archival terminology) is described as "Regulierendes Registraturprinzip" (regulating principle of the registry). The correction of the arrangement originated by the creating agency is permitted by paragraph 18 of the *Handleiding*. But where the latter speaks in paragraph 17 of "oorspronkelijke

orde" (original order), the possibility that the internal order has already been changed by the creating agency is disregarded. I have experienced such changes, for example, while arranging the archives of the "departement" of the Nedermaas (1794-1814).

The definition of the principle of administrative structure as given in German archival terminology, combines two concepts which we, in Dutch terminology, would prefer to define separately. It is indeed not always the case that the arrangement of documents in the registry corresponds not only to the functions of the record-creating agency but also to its organigramme. In Holland, there are ministries where the arrangement of the records has been based exclusively upon functions, without regard to the organization of the offices and their special tasks.

Therefore, we made a distinction between functional principle (*functioneel beginsel*) and organization principle (*organisatiebeginsel*), of which only the latter may be translated as the principle of administrative structure: "The functional principle is the principle whereby the divisions, both in the creation and in the rearrangement of an archive group should be determined by the subdivision of the task of the agency or the person who is creating or has created the archive group".

By "subdivision of the task" is to be understood the discharge of a specific function or the indication of a specific object of administration. The application of this principle to an archive group, which already has a pre-existing internal order established by the creating agency, is contrary to the principle of provenance, if the establishment of that original order did not originate from the functional principle. The assertion that a form of arrangement must be within the principle of provenance, does, therefore, not apply.

One could more likely think of a relationship with the principle of pertinence, although both these principles are basically different, because arrangement in the first case stems from the objectively determined functions of the agency, whereas in the other case, it is based on a purely theoretical division according to subjective considerations.

The principle of administrative structure is defined in Dutch as:

"The organization principle is the principle whereby both in the creation and the rearrangement of an archive group, sub-groups should be derived either from the organization of the creating agency or from the organization of that agency's administration". From this definition it follows that the organization principle may be based as well upon the distribution of responsibilities as upon the distribution of work within the offices. In both cases, a system by organisational division arises. When rearranging an archive group, the organization principle will not conflict with the principle of archival structure and its derived principles (principle of provenance, principle of pertinence) provided that the historically determined structure of an archive group concurs with the administrative structure.

Paragraph 16 of the *Handleiding* assumes that even the original arrangement of an archive group, that is its historically conditioned structure, is on the whole similar to the administrative structure, which, however, does not always correspond with the facts.

The *Handleiding* has also clearly turned against the principle of pertinence, because, in paragraph 21, it rejects arrangement by subject content.

Since this method of arrangement, nevertheless, finds application in modern registry systems, we have also acknowledged the principle of pertinence as a principle of arrangement: "The principle of pertinence (*pertinentiebeginnel*) is the principle whereby, both in the creation and the rearrangement of archive groups, items, regardless of their destination and their provenance, should be arranged according to the subjects to which they pertain". It is self-evident that it will conflict with various other principles of arrangement and that, just as in the case of the functional principle, it cannot serve as a valid basis for the arrangement of records which do not originate from the fulfillment of individual functions or can not be caught up under one single subject heading.

From all these considerations, we have gradually arrived at seven different principles of arrangement, of which the principle of provenance and the principle of pertinence, as has been seen, play a subordinate rôle. As far as the Dutch system is concerned, this is understandable because Dutch archival theory has long been based on the principles of archival structure and of restoration. For modern records, things are slightly different. In the modern registry systems of various ministries (in which since 1950, a decimal filing plan has been statutorily prescribed), there is a tendency to reconcile the principle of pertinence with the principle of administrative structure, insofar as each division administers its own records, which, however, are everywhere classified according to the same unitary filing plan. This demonstrates that reality is not obsessed by principle, but leaves open the possibility of connecting several principles of arrangement, thus validating the technique of arrangement as a living subject, full of motion.

MAX LEHMANN AND THE GENESIS OF THE
PRINCIPLE OF PROVENANCE*

The problem of archival arrangement in its theoretical and historical aspects has been of paramount interest to archivists in various countries, and the general lines of a development that culminated in the famous principle of provenance have been convincingly worked out.¹ What has received less attention are the trends of historical thinking that helped to shape archival theory, the circumstances under which theoretical insight was first translated into action, and last but not least the men who were instrumental in liberating the archival profession from the influence of ideas alien to its tasks.

This article is concerned with shedding more light on the beginnings of the principle of provenance² in the Privy State Archives at Berlin. True, the story of how this principle grew out of the needs of a major archival agency was told in 1902 by Paul Bailleu, who had actively participated in its application to the Berlin records.³ His

* Contributed to *Indian Archives* (Jan.-June 1950).

¹ The pertinent literature is listed in an appendix to the excellent article by Andrea Varga, "Il principio di provenienza," in *Archivi*, series II, 6:184-203 (1939), which, however, does not include Georg Winter's "Das Proveniensprinzip in den Preussischen Staatsarchiven," in *Revista de la biblioteca, archivo y museo del Ayuntamiento de Madrid*, 10:180-190 (Apr. 1933). For a good summary, see also Theodore R. Schellenberg, *European Archival Practices in Arranging Records* (National Archives, *Staff Information Circulars*, No. 5; Washington, 1939).

² The term is admittedly inadequate because it fails to stress the fundamental difference between the new principle and that of *respect des fonds*. It has become generally accepted, however, and will be used throughout this article. "Principle of the sanctity of the original order" would be more to the point.

³ "Das Proveniensprinzip und dessen Anwendung im Berliner Geheimen Staatsarchiv," in *Korrespondenzblatt des Gesamtvereins der deutschen Geschichts- und Altertumsvereine*, 50:193-195 (Oct. and Nov. 1902).

paper, however, reveals little of the opposition encountered by the advocates of the new system, and it fails to pay sufficient tribute to the man whose name is forever linked with one of the decisive steps in the history of the profession. That Max Lehmann was the author of the Regulations of July 1, 1881, which, at the Privy State Archives, prescribed "respect for every original order, for every original designation," is generally acknowledged but may mean little to archivists who are not familiar with his life and his writings.

The genesis of the principle of provenance cannot be told from the records alone. All they disclose is that the Regulations of 1881 were drafted by Max Lehmann and adopted at a conference of the officials of the Privy State Archives presided over by its director, Heinrich von Sybel.⁴ As so frequently happens, however, the records do not reflect the conflicts of personalities and ideas that precede and accompany the birth of an administrative document of major significance, with the result that lesser sources of information, such as memoirs, autobiographies, and oral traditions, must be resorted to to fill the void.

Varga in his article on the principle of provenance speaks of the Regulations of 1881 as the "Sybelian Regulations."⁵ This is correct to the extent that Sybel, Director of the Prussian State Archives, gave them his official sanction and authorized their application. It is also true because the progression from the French *respect des fonds* to the Prussian principle of provenance, or rather *Registraturprinzip*, constitutes one of the major achievements of Sybel's term of office, a period of 20 years from 1875 to 1895, which raised the Prussian archives to the rank of truly scholarly institutions and gave them their rightful place among the other cultural agencies of the country.⁶ It was Sybel, a man no less renowned for his historical writings than for his organizational and administrative talent, who started the voluminous series of the *Publikationen aus den preussischen Staats-*

⁴ See Johannes Schultze, "Gedanken zum 'Proveniensiensgrundsatz,'" in Hans Beschorner, ed., *Archivstudien zum siebenzigsten Geburtstag von Woldemar Lippert*, p. 225 (Dresden, 1931).

⁵ Varga, p. 190. Similarly, E. Wiersum pictures the adoption of the principle of provenance as the personal decision and merit of Sybel; see his "Het herkomstbeginsel," in *Congrès international des Archivistes et des Bibliothécaires*, 1910, *Actes*, p. 137 (Bruxelles, 1912).

⁶ Paul Kehr, "Ein Jahrhundert preussischer Archivverwaltung," in *Preussische Jahrbücher*, 196:159-178 (May 1924), gives an excellent summary of Sybel's achievements as Director of the Prussian State Archives (p. 173-175). See also Paul Bailleu, "Sybel," in *Allgemeine Deutsche Biographie*, 54:645-667 (Leipzig, 1908).

archiven and the *Kaiserurkunden in Abbildungen*. This magnificent publication program not only provided his officials with splendid opportunities for scholarly endeavor but also could not fail to attract the best historical students into the archives career. What other archival administrations of the period could boast of the services of archivists as prominent as Max Lehmann, Paul Bailleu, Reinhold Koser, and Friedrich Meinecke, all of whom achieved national if not international fame.

It is to Meinecke that we owe some intimate information on the beginnings of the principle of provenance, for the first volume of his memoirs includes a charming chapter on the Privy State Archives in the 1870's and 80's.⁷ Located in the heart of the old Berlin where the Margraves of Brandenburg had resided before the erection of the castle on the Spree, its vaults housed the records of the Privy Council of Brandenburg-Prussia to which, in 1874, those of the General-Directorium, ministry of the interior and finance of the eighteenth century, and those of some ministries of the nineteenth century had been added. The building was more noteworthy for its atmosphere than for its comforts and conveniences. Records were stored on wooden shelves reaching up to the high ceilings, and on the first floor, in the midst of the paper monuments of his bureaucracy, stood the enormous equestrian statue of Frederick the Great. The organization of the Privy State Archives was as time honored as the building. Untouched as yet by the concepts of efficient management, the Privy State Archives was staffed with six Privy State Archivists and a few assistants with the title of *Archiv-Sekretär*.⁸ Though the Director of the Prussian State Archives also served as Director of the Privy State Archives, actual administration was left to the small group of Privy State Archivists who, in pairs of two, alternated in taking charge of the agency's business. Subject only to review by the monthly conferences presided over by Director Sybel, the Privy State Archivists were a law unto themselves and imbued with the dignity and independence of their positions.

It was shortly after his appointment in 1875 that Sybel called Max Lehmann into a vacant position of Privy State Archivist. Born in Berlin in 1845,⁹ Lehmann had received an excellent education at the

⁷ Friedrich Meinecke, *Erlebtes, 1882-1901*, p. 137-148 (Leipzig, 1941).

⁸ See the respective sections of the official annual manual entitled *Handbuch für den Königlich Preussischen Staat und Hof*.

⁹ The following is based on Lehmann's autobiographical sketch in Siegfried Steinberg, ed., *Die Geschichtswissenschaft in Selbstdarstellungen*, [1:] 207-232 (Leipzig, 1925).

famous Joachimstalsches Gymnasium. It prepared him splendidly for his university studies, which he pursued at the Universities of Berlin, Königsberg, and Bonn. At the University of Bonn, Sybel was one of his main professors, and though Lehmann left Bonn after what he considered his happiest semester, to prepare for his doctorate in Berlin, Sybel employed him in 1867 to examine, for his history of the French Revolution, the material in the State Paper Office in London. This gave Lehmann a chance to acquaint himself with research in archival sources and—what may have been even more important—to observe the life of a great Western European capital. Upon his return, Berlin looked to him "like a medium size provincial city with a surprisingly great number of soldiers."¹⁰

Disappointed in his expectation of entering the academic career, Lehmann was only too glad to accept Sybel's offer of a position at the Privy State Archives. It was for him, as he later stated, "not quite the academic profession, but by no means a bad preparation for it." It is easy to imagine that Lehmann's appointment was not enthusiastically received by the older Privy State Archivists. Quite apart from his lack of practical experience in archives work, the fact that Lehmann at the same time assumed the editorship of Sybel's *Historische Zeitschrift* and that he was scheduled to inaugurate the *Publikationen* with a work on Prussia's relations with the Catholic Church could not be to the liking of his colleagues. It meant certainly that not all of his time and work would belong to the dispatch of the day-to-day business of the Privy State Archives.

If we are right in assuming that Lehmann's appointment met with rather mixed feelings at the Privy State Archives, his personality was not likely to overcome them. For he was the "fightingest" of German archivists and historians, a man always ready to engage in literary controversy, to carry it on to the bitter end, and even to enjoy it.¹¹ Oral tradition at the Privy State Archives characterized him as domineering, highly excitable, and hard to bear for his colleagues. "There was something of a lion in Lehmann's nature," Meinecke said in his obituary in 1930,¹² "supreme intellectual severity combined with the greatest passion, and a burning ethical enthusiasm that could carry him to great heights but would also sometimes lead him astray."

¹⁰ *Ibid.*, p. 213.

¹¹ With respect to attacks of the *Zentrum* (Catholic) Party against his first volume of *Preussen und die Katholische Kirche*, Lehmann said in his autobiographical sketch: "I replied, of course [*Historische Zeitschrift*, 1883], and rarely did I enjoy a literary feud as much as this one" (*ibid.*, p. 218).

¹² *Historische Zeitschrift*, 141:449-450 (1930).

A man of such volcanic character could not very well adapt himself to the sedate ways of a venerable agency like the Privy State Archives, which traced its beginnings back to the early seventeenth century, and he was bound to cause outright hostility if he decided to become the advocate of change in a vital field of archival work. And this is exactly what Lehmann did after he had gained some practical experience as an archivist. The records of the Privy State Archives had received their basic organisation¹³ into record groups called *Reposituren* before the reorganization of the Prussian State during the so-called period of Reform from 1807 to 1815. In spite of the fact that the pattern of the central government had been completely transformed, archivists continued to place the records of the new ministries into the compartments of the old scheme of record groups, principally on the basis of their subject matter. To give an example, correspondence of the Ministry of Foreign Affairs with the Mission in Brussels would be combined with old records of the Privy Council pertaining to Brabant, and the records of the Brussels Mission itself would be thrown in for good measure. The obvious result of this was that the documentation of the newer agencies of the state became completely submerged in a system designed to accommodate the material of a much earlier period.

When Paul Bailieu discussed the application of the provenance principle to the Berlin holdings before the 1902 meeting of the German archivists, he went to great length in describing the unsatisfactory results of what he called the lack of a "thoroughgoing system of arrangement."¹⁴ He dwelt particularly on the difficulties encountered in reference work. In order to find records it was necessary first to check the agency accession lists, from these determine the agency's record designation or call mark, and with the help of these call marks discover the designation given to the records at the Privy State Archives. It was the cumbersome nature of this procedure that impressed the necessity of a change upon the younger officials of the archives. Arrangement on the basis of agency provenance and registry classification, they felt, must replace the impossible arrangement based on subject matter. Since, under the excellent system of recordkeeping developed in German registry offices, records received an order clearly expressed in classification symbols, it became now solely a matter of keeping them in this order, once they reached the archival agency, or restoring this order where it had become obliterated.

¹³ See Bailieu, p. 193-194.

¹⁴ *Ibid.*, p. 194.

Archival experience, it seemed, demonstrated clearly the advantages of the new system. However, it also corresponded to the "historical thinking"¹⁵ of a generation that had come to the archives from the classes of Ranke, Droysen, Sybel, and other heroes of a great period of German historiography. The new principle was more than a technical knack. It meant the application of respect for historical growth to the sources of historical research that had come into existence in the course of historical events.

In view of the fact that subject matter arrangement had governed supreme for a number of decades and that the application of the principle of provenance necessitated a reworking of much of the holdings of the Privy State Archives, it is not surprising that the new ideas met with opposition on the part of the traditionalists among the Privy State Archivists. Their spokesman was the "omnipotent" Paul Hassel, "who had come to power as the favorite of Max Duncker, the predecessor of Sybel."¹⁶ During the Franco-Prussian War, Hassel, a Ph. D. of the University of Berlin, had served as a reporter for the *Preussischer Staatsanzeiger* with the Third Army,¹⁷ and it can be assumed that Crown Prince Frederick William, who was in command of that army, recommended him to Duncker and helped him in his career at the Archives. Fortunately for the advocates of change, the older Privy State Archivists, anxious to defend the dignity of their office, resented Hassel's overbearing attitude.¹⁸ They joined forces with the younger generation and convinced Sybel of the need for a new system of arrangement. Naturally we do not know any details of the conflict that preceded the adoption of the Regulations of July 1, 1881. They represented a clear-cut victory of the anti-Hassel front. Hassel resigned from the Prussian Privy State Archives and, in July 1882, was called into the vacant position of Director of the Royal Main State Archives in Dresden.¹⁹ Once again, the influence of the Crown Prince, the later Emperor Frederick III, may have worked in his favor.

The way was now cleared and, as Meinecke says, "the idea of arranging the records according to their provenance, now implemented with all possible vigor, injected all of a sudden an incredible amount of vitality and individuality into the entire Archives. For the registry of every single agency . . . now became a living organism of its own

¹⁵ *Ibid.*

¹⁶ Meinecke, p. 142.

¹⁷ A. Reichardt, "Paul Hassel," *Biographisches Jahrbuch und deutscher Nekrolog*, 9:223-224 (Berlin, 1908).

¹⁸ Meinecke, p. 142. ¹⁹ *Ibid.*

with its peculiar principle of life, and the different persons with their individual traditions and impulses now came to light."²⁰ When Meinecke entered the Privy State Archives on April 15, 1887, the great task of recasting the archives in accordance with the new ideas was by no means completed, and he could still "witness the enthusiasm that inspired its pioneers."²¹

As has been pointed out, Lehmann was not the only one among the younger archivists to press for a new departure in methods of archival arrangement. But exactly what was his share in working out the new principle? Bailleu, in his 1902 paper before the German archivists, referred to the younger generation of officials who entered the Privy State Archives either with Sybel or shortly thereafter and who became convinced of the necessity of ending the existing confusion and of organizing all of the holdings of the archives on the basis of one thoroughgoing principle of arrangement,²² but he failed to mention Lehmann's leading role. This, it seems, can be explained. By 1902 Lehmann's relations with his former colleagues and friends at the Berlin Archives had become badly strained. In his Scharnhorst biography Lehmann had smashed the conservative historical interpretation of the Wars of Liberation, and his thesis that the Seven Years' War had been provoked by Frederick the Great had resulted in a complete break between him and the official Prussian historians. His name had become unpopular. Lehmann himself, in his autobiography, claimed the principle as his personal contribution without mentioning the names of his collaborators: "I found it possible to effect an improvement in the organization and arrangement of the Archives on the basis of the principle of provenance which nowadays I think has become generally accepted; that was important for the Archives, not unimportant for the state."²³ Just as Bailleu did not see fit to pay tribute to the former colleague who had broken away from the official creed of Prussian historians, Lehmann in turn failed to remember that, as the protagonist in the fight for the new ideas, he had the valiant support of the younger group at the Privy State Archives.

For Lehmann, though he led the fight, did not fight it singlehanded. Meinecke, who entered the Archives when Lehmann was still on its staff and who must have heard a great deal about the events that shook the Privy State Archives in the early eighties, acknowledges Lehmann's leadership²⁴ but also the supporting role of some of his colleagues. He

²⁰ *Ibid.*, p. 142-143. ²¹ *Ibid.*, p. 143.

²² Bailleu, p. 194. ²³ Steinberg, p. 217. ²⁴ Meinecke, p. 142.

"in the first place," Meinecke says, "but also Bailleu and Hegert" insisted "on arranging the records on the basis of their historical provenance, that is, in actual accordance with the natural order in which they originated in the registry offices of certain individual agencies."²⁵ While the inadequacy of the existing practices of arrangement and the need for a different approach to the problem of arrangement seemed obvious to the younger group, while there must have been a frequent exchange of experience and much discussion of what should constitute the true principle of archival arrangement, it was undoubtedly Lehmann's energetic and dynamic nature that carried the new ideas through to victory. In this, his close relationship with Sybel and his reputation as one of the up and coming men in the archival, if not in the historical, field must have been of major importance.

It seems ironic that one of the most far-reaching changes in archival theory and practice was brought about by a man to whom the archives profession was only a second-best choice. Lehmann's inaugural address before the Prussian Academy of Sciences,²⁶ to which august body he had been elected after the publication of his Scharnhorst biography, stressed the importance of archives for research. "For all research in modern history must begin in the archives and that is why the archivist who approaches his task with a high sense of responsibility will have some advantage over other scholars who visit the archives only occasionally." But "history is not just an abstract from documents,"²⁷ and "an accumulation of building stones, no matter how beautifully shaped, is not a building."²⁸ Throughout the address the emphasis was on the creative task of the historian, as Lehmann saw it, and not a word was said about the principle of provenance and his share in it.

His election to the Academy of Sciences, the Scharnhorst biography, and his leadership in the Privy State Archives had firmly established Lehmann in the first ranks of the profession. When people talked about his career they would wink their eyes as if to say: "The future director of the archives."²⁹ But that did not influence his decision when "finally, finally" he was offered a professorship in Marburg, which, in the fall of 1888, ushered in "the heavenly days of freedom."³⁰

²⁵ Similarly Reinhard Lüdike in his obituary of Paul Bailleu, in *Archivische Zeitschrift*, 3d series, 2:290-291 (1925), speaks of the "reorganization of the records on the basis of the principle of provenance, initiated under the leadership of Max Lehmann."

²⁶ Preussische Akademie der Wissenschaften zu Berlin, *Sitzungsberichte*, 1887, p. 633-635 (Berlin, 1887).

²⁷ *Ibid.*, p. 633. ²⁸ *Ibid.*, p. 634. ²⁹ Steinberg, p. 221. ³⁰ *Ibid.*

From then on Lehmann was dedicated exclusively to his teaching and writing. The Scharnhorst biography was followed by his book on *Frederick the Great and the Origin of the Seven Years War* (1894), which caused violent protests on the part of the Prussian historians and unleashed a controversy such as European scholarship had hardly seen before, and by the biography of the Baron vom Stein. It, in turn, involved Lehmann in a scholarly feud of major proportions when his thesis of the influence of the French Revolution on the Prussian Reformers was attacked by Ernst von Meier. Lehmann continued to fight for what he considered a good cause, against the majority of the German historians, always adhering to the conviction that "politics and history have no more dangerous enemy than chauvinism,"³¹ that, in the history of our Western civilization, there are broad tendencies and relationships that transcend national barriers, and that, in the last resort, "all history is universal history."³² The man who in his youth had been considered "a conservative hotspur finally became an upholder of the Weimar Constitution, always remaining faithful to himself and true to his character."³³

In a life so full of achievement and conflict, Lehmann's part in the discovery and implementation of the principle of provenance was a minor episode. But even if his dynamic personality could not find lasting satisfaction in the minutiae of archival work, we as archivists may be justly proud that a man of his caliber was one of us; we should remember with respect and gratitude the debt our profession owes him.

³¹ *Ibid.*, p. 223.

³² Preussische Akademie der Wissenschaften zu Berlin, *Sitzungsberichte*, p. 635.

³³ Meinecke, in *Historische Zeitschrift*, 141:450 (1930).

NEW ARCHIVAL TECHNIQUES

Report by Dr. James B. RHODES

III. - CONCLUSIONS

In attempting to evaluate the information summarized above it is necessary at the outset that we recognize a number of difficulties. These have their origin in the basic matters of language and terminology. In the study of responses to the questionnaire it soon became evident that there is no readily understandable and widely accepted meaning of the term "techniques" as applied to the administration of archives. Almost all operations and activities can be included under this term, and frequently were in some replies. Other replies were based upon a much narrower definition which precluded any exposition of current operating principles, policies, and procedures. This basic divergence of opinion accounts for much of the imbalance in coverage and emphasis reflected in the summaries for individual countries.

A second difficulty resulted from the use of the term "new." The questionnaire was confined to the present and the "recent past," but it did not indicate if the techniques to be reported were to be those that were new to the archival profession in general, in a particular country, or in a particular institution within that country. The varying interpretations given to this term may account for the lack of response by some countries under many of the headings, and for the essentially negative responses by other countries. These responses have been included since they may assist in studying the process by which particular techniques are developed, accepted, and spread to other countries in various parts of the world.

One further difficulty is that involving archival terminology itself. If there are no exact English equivalents for many archival concepts and terms in other languages, the use of a questionnaire in English employing American archival terminology poses equal difficulties to understanding. The terms "disposal" and "arrangement" appear to have been particularly troublesome; the inclusion of "retirement" and "classification" as related concepts may have eliminated some of the confusion. Despite these difficulties, however, all of the responses revealed a general concern with basic problems and a careful consideration of the questions asked. The lack or the brevity of a response under a particular heading in no instance can be equated as disinterest or lack of cooperation. All archival agencies necessarily employ techniques in the conduct of their operations; some simply chose to regard their techniques as not sufficiently new to warrant an explanation.

Within the above limitations, and without making comparisons that may well be involved, it is still possible to formulate a series of tentative conclusions under each heading based upon the available evidence, and to draw some general conclusions from the responses as a whole.

A study of the responses under the heading Organization and Administration reveals a widespread concern with the impact of computer technology on traditional record systems, and an almost equal interest in the possible utilization of this technology in the management of archival institutions and programs. A concern with machine readable records is equally evident in the replies under Appraisal and Disposition, Repository Design and Management, and Preservation. Interest in the direct use of this technology is particularly evident in the replies concerning the creation of finding aids. The obvious conclusion is that there is further need for study of the products and the implications of computer technology. As an initial step, it would seem that to the extent feasible and consistent with their jurisdiction, archival authorities should assert the basic record character and archival interests and values of machine-readable and related program documentation. The trend toward the esta-

blishment of separate institutions outside archival authority termed "data archives" is indeed regrettable, since all traditional historical and administrative archival agencies, in terms of the informational content of their holdings are "data archives." It is essential that the archival profession fully accept its responsibility for this latest development in the evolution of documentary forms. The tasks we face in this area are formidable, but no more formidable than those that confronted the first archivists of the clay tablet era who discovered an accumulation, in a nearby office, of papyrus scrolls bearing symbols in an unknown language. And in the process of acquiring the knowledge and developing the techniques necessary to appraise and accession these newest forms of records, archivists will also be learning enough about the technology that produced them to evaluate and utilize it, when appropriate, as a management tool in the planning and control of their own programs and operations.

Two additional techniques reported under the general heading of Organization and Administration are also suggestive; the use of advisory councils and the selective geographical decentralization of archival holdings. In an era of increasing emphasis upon an expansion of archival services to scholarship and to the general public, and in view of the rapidly growing population and decentralization of governmental functions and operations in many countries, both of these techniques deserve careful consideration by all of our colleagues. On the negative side, the responses under this general heading, with a few notable exceptions, revealed little concern with or innovation in the use of modern management techniques in the overall direction of archival institutions. As these institutions necessarily expand their holdings, staffs, and services, their direction and management inevitably requires the full attention of an increasing number of staff members. The implications of this development for the archival profession, and the problems involved in the training of professional archivists in the requisite management sciences, would appear to merit more attention than they have received to date by the International Council on Archives.

The number and variety of the responses under the headings of Records Management, and Appraisal and Disposition, indicate the extent to which archival authorities are increasingly accepting professional responsibilities for the records of today in order to ensure the adequacy and improve the quality of the archives of tomorrow. This participation in the revision of records creation and records keeping practices, with a view not only to improving current operations but with a concern for the economy and efficiency that result from the appraisal and timely disposition of the records when they are no longer needed for the conduct of current business, cannot help but strengthen the position of archival agencies in their respective governmental structures. The many instances reported in which records management training is provided to agency records officers as well as to archival staff members represents a further extension and expansion of traditional archival services.

In this rapidly developing area several related matters appear to warrant further study and consideration. One such matter involves the problems associated with appraisal, disposition, and furnishing of reference service on records classified under decimal filing systems. The use of decimal filing appears to be a common development in the evolution of filing systems from the simple registry forms to the complex systems in use today in the more advanced nations. The archival holdings of a number of nations include a wide variety of decimalclassified records, in the appraisal and use of which their archival institutions have acquired invaluable experience. It may be useful for archivists in these institutions to share their experience with their colleagues in nations now beginning to use decimal filing systems.

A second consideration relates to the techniques employed in records appraisal and disposition. While recognizing the wide divergence that exists in the purpose, nature, and forms of records from country to country, it would appear that the techniques involved in surveying and in preparing retention and disposal schedules for the records of particular agencies and of general schedules for records common to two or more agencies, would reveal basic similarities from country to country. Particularly to assist developing countries in

adapting survey and scheduling techniques to their own needs, the International Council on Archives might well pursue further investigation of this matter, and, if warranted, authorize the preparation and publication of a manual on this subject.

A third related matter is that of the role of records centers. Their development as an essential link between operating agencies and archival institutions deserves further study. We still do not know enough about the particular conditions that are most appropriate for their creation, the basic considerations that should determine their location and functions in various countries whose record-keeping systems represent different stages of development, and the full range of problems in their effective management. These related topics need further investigation. Particularly suggestive for advanced as well as developing countries is the experience of several American states in constructing archival buildings with adequate storage space for significant future accessions that is justified by the use of this space as a records center until needed for archival holdings.

With specific reference to Appraisal and Disposition, the replies to the questionnaire underscore the need for increased attention to the problem posed by machine-readable records, the various uses and limitations of the sampling techniques, and particularly the need for a restudy of traditional attitude and policies toward audiovisual materials. To better perform their basic service mission, an increasing number of archival institutions have found it necessary to abandon their passive role as "receiving agencies" for only official noncurrent records of a parent institution, and have become with appropriate authorization "collecting" agencies not only for the archives of private institutions and organizations, but also for what we call personal papers and historical manuscripts. To complement these research resources, they have paid particular attention to the audiovisual materials produced and accumulated both within and outside the institutions of which they are a part. As a profession we have paid too little attention to this development and its implications for traditional archives administration.

In recent years the International Council on Archives has accomplished a great deal of constructive work in promoting the study and in the publication of information relating to the construction and furnishing of archival repositories. As the major archival installations reported by France, Great Britain, and the United States go through their varying planning and construction phases, we trust the archival authorities involved will authorize the preparation, for dissemination through the ICA, of periodic reports that will be of benefit to their colleagues in other countries. Of particular interest are the new techniques that are being installed to provide security. The reports on new techniques in Preservation and Repair, as might be expected, provide a great deal of valuable information on new methods and materials being used to help preserve archives. To our colleagues in a number of countries we are indebted for this information. It appears that hand or manual lamination has been firmly established, but that the use of more advanced techniques is retarded primarily by the expense of the necessary equipment. In this respect the development of a relatively inexpensive laminator in Israel should be further investigated. It also appears that in relatively few countries is microphotography employed as a technique to ensure the preservation of valuable holdings. Perhaps separate study should be made in this area. The use of photography in the restoration process as well as in reference work has not perhaps received the attention it deserves from archivists.

With regard to the related functions of Arrangement and the producing of Finding Aids, the responses prove to be most illuminating. Archival agencies generally are engaged in preparing what may well be regarded as the most essential single finding aid, a relatively current guide to their holdings, and in the process many of them are planning for or are experimenting with automatic data processing and computer techniques. As they seek to establish deeper levels of intellectual control over their holdings to better facilitate their use in research, these institutions are also challenging the systems of control and the methodologies they developed during the earlier stages of their own institutional and professional growth. Thus the increased emphasis on the series and the decreased emphasis on the record group as the basic unit of control for the arrangement and description of textual

records. This development is paralleled by an increasing emphasis on the individual item level and less emphasis on the series level in the arrangement and description of cartographic and audiovisual archives. A third trend that emerges from an analysis of the responses is the desire to use the storage, manipulative, and printing capabilities of computers in providing users with more direct access to the substantive content of records through the creation of machine-assisted indexes.

Both our theory and our practice as archivists should benefit from the experiments and projects already underway in these areas. The institutions involved should be encouraged to assist their staff members in recording fully and reporting to the profession at large the methods and procedures they have employed, and the problems they have had to solve in further refining administrative and intellectual control over their total holdings and over particular bodies of records. Perhaps a further issue of *Archivum* or a separate publication could be devoted to a series of case studies involving the most recent developments in arrangement or classification theory and practice, and the preparation of finding aids utilizing automated processes. Recent experience in the United States also suggests the possibility of a cooperatively created computer program for use in preparing certain types of finding aids in depositories that have achieved a basic degree of standardization in their methodology and their terminology. The rationale of all that has preceded in this report becomes evident in a study of the responses regarding new techniques in reference service. The continuing trend toward greater liberalization of access to archives, both through the reduction of closed periods and through microfilm publication of records of high research value, is a tribute to the efforts of the ICA in these matters. It is essential in our increasingly interdependent world that this emphasis upon greater liberalization of access be continued and expanded. Equally encouraging is the evidence of increasingly widespread use of a variety of photocopying techniques to improve and expand reference services. A comparative study of the processes involved and their advantages and limitations as applied to archival materials might merit further consideration. New facilities and techniques to improve reference services both in recently constructed archival buildings and in those currently being built and planned also deserve further attention. Much can be learned from the summaries themselves regarding these techniques. Of particular relevance to the more effective management of archival institutions is the growing use of statistical data, generated in the process of providing reference services, in analyzing and revising basic archival operations in order to improve reference services. This is another development that appears to be worthy of further attention by the ICA.

From one point of view, the activities involved in Documentary Publication and Exhibits represent essentially an extension of reference services. As with most archival activities, the major obstacle to an expansion of printed documentary publication efforts is the problem of costs. Barring a revolution in public tastes that would overnight transform scholarly letterpress documentary publications into best sellers, the most promising developments to date appear to be microfilm publication, with perhaps later selective letterpress editions based upon the microfilm. Also promising are current investigations, such as those involving offset lithography from typescript and of computer typesetting, of ways to minimize the problem of printing costs. In terms of the responses, there is real need for further study of archival exhibits, with particular attention to their important role in the public relations activities of archival agencies and to their educational potential.

As archival agencies increasingly expand their services to scholarship they can expect to be faced with the problems posed by the technique that has come to be called Oral History. Since most of the tape recordings created by Oral History projects are erased or destroyed, the usual archival products of such projects are edited typescripts which constitute a specialized type of source material for future researchers. The relatively high costs of creating this type of source material are usually justified by the inadequacies or complete lack of traditional documentation regarding individuals, events and topics of critical interest to historians and other students of the recent past. As a profession we may well ponder whether the archivist, if he chooses to limit himself to the selection and preservation of official records,

has not weighted the scales of research in favor of official history. As custodian of the most basic documentary sources for scholarly research, does he – or should he have – an obligation to seek out and acquire and preserve, by any possible means, a more balanced and complete documentary record of the present for the future than that which he has inherited from the past? These are questions that may well deserve serious thought as we observe the contemporary role of the archivist in various countries.

The subject of training has been reserved deliberately for the concluding section of this report. Its importance has been emphasized in almost all of the responses, and the summaries indicate a level of activity in which we, as a profession, may take a great deal of satisfaction. Much, however, still remains to be accomplished. The promising beginnings made by the ICA to establish and maintain strategically located training schools, operated by experienced archivists for beginning professionals in the developing countries, should continue to be supported by all nations. There is great need for an expansion of the program of missions of technical experts, and of securing for developing nations essential technical equipment. An international inventory of our available resources, both human and material, and appropriately computerized and periodically updated, could be of great assistance in more precisely defining the problems we face and in determining our priorities in their solution. With specific respect to training courses, all nations would eventually benefit from a program of exchanges, between the advanced countries, and on a lectureship or fellowship basis, of key personnel involved in the training of archivists. Since many of these individuals are also necessarily involved in the development and modification of archival methodology and techniques in major archival institutions, periodic meetings and conferences which would bring them together may also be of great benefit. To add to the knowledge and competence of those who teach is the most certain way of strengthening our entire profession.

In conclusion, the nature and scope of the theme chosen for this report, and the remarkable cooperation of our colleagues in responding to the questionnaire circulated to gather data, have combined to produce an extraordinary volume of useful information. As much as possible of that information has been provided in the summaries. Viewed in its totality, it reflects a great deal of activity and an increasing maturity in our profession. While reaffirming their commitment to transmit, unimpaired, their archival heritage to future generations, today's archivists, in their increasing concern with their primary source of supply – current records in operating agencies – and for the needs of their most rapidly growing and demanding class of users – research scholars – are studying and applying a wide variety of techniques to improve and expand traditional services. Our future success as a profession will be determined largely by our ability to adapt these and similar techniques to our particular needs.

BASIC LEGAL PROBLEMS

ARCHIVE LEGISLATION

by Robert-Henri Bautier, Professor at the
Ecole nationale des Chartes

In less than three years, between 1971 (in fact, 1972) and 1973, *Archivum* has produced four volumes which, officially dated 1967, 1969, 1970 and 1971, make up some of its arrears in publication and contain almost a thousand pages of texts of legislation in countries all over the world¹. We are aware of the effort and perseverance involved in producing a work of this kind, and we can therefore express only admiration for its completion, which is due to the enterprise of our colleagues Michel Duchein and Ariane Ducrot.

It was almost a quarter of a century ago, when the International Council on Archives was first established, that attempts were first made to draw up a publications programme for the organisation itself and for the periodical which was to become its official journal. The Italian delegation, led by Commendatore Emilio Re, then suggested that a 'catalogue of comparative legislation' should be prepared : at the time this seemed to be a utopian idea, and being aware of the difficulties, I proposed that the International Council on Archives should regularly include in its journal pages on 'new laws and regulations in different countries' as well as objective notes on the application of these laws in practice. Even in this form, it seemed for a long time to be impossible. But now at last one of the basic tasks which had been envisaged by the International Council on Archives has been accomplished, as were the journal *Archivum*, the *Guides to Sources for the History of Nations*, notes on the major archive establishments of the world (*Archivum*, vol. XV), the *International Directory of Archives* (a new edition of which is impatiently awaited) in volumes XXII and XXIII of *Archivum*, which are in the press. The volumes which have been published will provide invaluable working tools for archivists in all countries, and especially for those in charge of national Archives in their own countries.

A wide-ranging enquiry has made it possible to bring together basic texts of laws, decrees, regulations, administrative orders and even circulars, which are concerned with the general organisa-

¹ *La législation archivistique*. I. Europe : 1st part, Germany - Iceland ; 2nd part, Italy - Yugoslavia. II. Africa, Asia. III. America, Oceania (*Archivum*, vol. XVII, 1967 (1971) and XIX, 1969 (1972); vol. XX, 1970 (1972) ; vol. XXI, 1971 (1973).

tion of public Archives in different countries, as well as the rules for standardising archival activity (public access to documents, transfers, control of current records, disposal, arrangement). The enquiry covered 104 countries, of which 31 are in Europe, 30 in Africa, 20 in Asia, 20 in America and 3 in Oceania. Some of them gave only a negative reply, either because they have no properly organised archives, or because they have no legislation of a general kind. Examples of these are the small European countries, Liechtenstein, Monaco and San Marino (to which can be added the Vatican, which did not think fit to give information about its regulations) ; also ten or so countries in Africa and Asia (Botswana, Malawi, Uganda, Afghanistan, Saudi Arabia, Ceylon, Nepal, Pakistan, Syria, Taiwan). On the other hand, some countries contented themselves with giving information about old laws which they considered to be obsolete, while they await new legislation (Dahomey, Mali, Morocco, Senegal, Tunisia). Thus the information covers 80 countries. There are several absentees, above all the People's Republic of China, which is known to have made great efforts in the field of archives, although it has not yet built up the links with ICA which we would hope to have ; and the same applies to the two Koreas, North Vietnam and Albania. We may regret this, but we cannot blame those responsible for making this survey ; for my own experience has shown me that despite our strong wish to see countries join our archival community, their position is too frequently determined by requirements which we do not understand.

On the other hand, the great value of the information already gathered has given me an appetite for more ; and I wish there had been a greater number of questions, including some on the internal organisation of departments, and particularly on the rules for the admission of readers, the production of documents to them, loans, etc. For in such matters a statement of general principles on the public availability of archives certainly does not give us all the information we would like to have.

A difficult question arose for countries with a federal structure, where the law on federal archives does not apply to those of the federated states. As it was impossible to consider reproducing *in extenso* the laws and regulations of each of the latter, a selection was made ; and we may in some cases regret that this selection was so limited. Thus, for the Federal Republic of Germany, only the *Land* of Bavaria has found favour, and is represented by several texts of various kinds. I personally would have liked places to have been found also for at least Hesse and Lower Saxony, if not Baden-Wurtemberg ; for German archive legislation is one of the richest and most interesting, and the archives of the *Länder* are often more interesting to the Archives of other countries than those of some other states which admittedly are only of small importance. The cantons of Bâle-Campagne, Lucerne and Schwytz are given as representative of the Swiss Confederation because their legislation is of recent date, but that for Bâle-Ville and Vaud at least should have been included, even if *Archivum* had already drawn attention to them. For Yugoslavia, the laws for the Republics of Croatia and Slovenia are given, in addition to those for the federal archives ;

but the absence of Serbia can be regretted. For the USSR, only the legislation for the Main Archives of the Soviet Union has been reproduced, as it enunciates general principles, but I think that it would have been useful to mention the working rules which govern the processing of archives in the republican Archives. For the USA, an excellent choice was made, which is very representative of the different types of organisation which are met in the 47 states: Illinois (archives mainly of an administrative kind, where the Secretary of State is officially the archivist), Maryland (where a Commission within the General Services Agency is responsible for both historical archives and current records), Wisconsin (where the State Historical Society is responsible for the care of historical archives, but not for current records), and lastly North Carolina (where the Department of Archives and History acts as an autonomous archives department).

An introductory note for each country summarises very briefly the history and organisation of the Archives, in order to give guidance to the reader and to make it possible to understand the texts which are published. This is a sound idea, but its implementation is very uneven and some of the summaries do not succeed in giving a very precise idea of their meaning ; it would be advisable not to put too much reliance on these notes, and not to accept all the information and dates as necessarily accurate. This could also provide an opportunity for *Archivum* to carry out a new international enquiry on the history and organisation of archives in various countries.

One of the difficulties which the editors met was to present the texts in one of the working languages of ICA, which means that they had to be translated into either French or English. Knowing what a headache it can be to translate concepts which are sometimes difficult to understand, I would not make the slightest criticism in this respect, because all are quite satisfactory. We could draw attention to minor points, for example, the use of '*Fonds national des Archives*' for Bulgaria, Poland and Rumania, while '*Fonds unique des Archives*' is preferred for Czechoslovakia, both corresponding to traditional terminology in the Soviet Union, which we find here as 'State Archival Fund' ; but it is sufficient to say that there is a subject index (for European countries at the end of volume XIX, and for countries outside Europe in volume XXI) which brings together in an extremely useful way all the related concepts, with the necessary cross-references. This index has been prepared in the five working languages of the Council (English, French, German, Italian and Spanish) ; no attempt was made to make them fully comprehensive or over-meticulous in dealing with slight differences in vocabulary, but they provide a means of handling the contents of the volume which is not simply useful but is indispensable. They are easy to use, with numerous cross-references ; and they meet our needs exactly. Let us take an example from the French index. Under '*Vente des documents*' the index gives references to the German Democratic Republic, Denmark, Spain, France, Great Britain, Greece, Hungary, Italy, Luxembourg, Portugal, Rumania, Switzerland and Yugoslavia ; but the entry is also cross-

referenced to 'Exportation d'archives', to 'Inaliénabilité des archives publiques' and to 'Protection des archives'. There are also cross-references from 'Achat d'archives' and 'Préemption' to 'Ventes de documents'. It is therefore easy to get together information, at least of a preliminary nature, on the position adopted by different pieces of legislation on a particular question.

It can be confirmed by reading the volumes that during the past twenty years many countries have had new archive legislation. For the European countries alone we can mention the German Democratic Republic (1965), Belgium (1955), Great Britain (1958), Greece (1969), Hungary (1950 and 1969), Iceland (1964), Italy (1963), Luxembourg (1960), Norway (1961 and 1968), Netherlands (1962 and 1968), Poland (1957), Portugal (1965), Rumania (1957), Sweden (1961 and 1968), the Swiss Federal Archives (1966) and various Swiss cantons, Czechoslovakia (1954), the USSR (1958), and Yugoslavia and its federated republics (1964-1967). Other countries had already brought their legislation up to date in the years after the second world war : Bulgaria (1951), Spain (1947) and Finland (1952).

All the anglo-saxon countries have a 'Public Records Act' which lays down the general framework within which public records are dealt with ; all the socialist countries equally enjoy an organic law on archives. Only rarely have all the legal instruments been put together in a single code, or else such codification has been achieved only recently ; and there is a rule, in addition to the basic legislation (which is often old and partly obsolete), a number of special instruments which more precisely define its scope, and all of which it was impossible in practice to publish in *Archivum*. It was therefore necessary to make a choice between a number of the more significant texts. This is particularly the case in the Federal Republic of Germany, Austria, Denmark and France.

Of all countries, ours is undoubtedly that which from the regulatory point of view presents the greatest degree of complexity, if not absurdity. *Archivum* reminds us that there are three statutes. Of the only 'basic archive legislation', that of 7 Messidor II, no more than two clauses are considered to be 'still applicable today' ; yet it must be said that the first, which attached archives to the National Assembly, has been completely out of date since the First Empire, and the second, which provided for general access to documents free of charge and *in situ*, in fact applied only to papers which at that date (1794) were actually in the Archives of the Assembly ; and since then this freedom of access has been subject to many revisions, and documents have in fact been allowed to be produced to readers outside the repository. A second law, in 1928, authorised the deposit when they are 125 years old of documents kept in notaries' offices ; but at least in Paris 'illegal' deposits of more recent papers are continually being made. Finally, the law of 21 December 1970 ordered the compulsory deposit of certain older documents belonging to *communes* of less than 2,000 inhabitants, but this made the rules for these same archives partly obsolete (order of 31 December 1926) ; yet we must note that for *communes* with more than 2,000 inhabitants, the deposit of documents takes place only after discussion by the town council. For how long have archivists in the *Archives départementales* been looking after municipal archives in a more pragmatic way, without paying too much attention to formalities ?

Moreover, we all know that the Code of Law for archives contains a large number of different instruments, some of which are at least partly obsolete and which sometimes contradict each other. For many years the regulations have been undergoing revision with a view to redrafting them entirely. But their legal basis is itself sometimes weak ; thus, the obligation for readers to deposit in the Archives a copy of their publications (including copies of theses) in return for their having free access to archives, which is a legal right, was imposed in 1949 by a simple circular by the *Direction*. Is it not extraordinary that a country as legalistic as France, always ready to confine reality with a legal framework, has adopted such a pragmatic position in the field of archives, whereas the Anglo-Saxons have a 'Public Records Act' ! Without doubt it is this which has made it possible for French archivists, by their personal initiatives, to prove their exceptional dynamism and efficiency, in spite of the necessary constraints imposed by a *Direction des Archives* which has made worthy efforts to regulate, coordinate and standardise all activities in all categories of Archives. But we should remember that more than twenty-five years ago a 'general codification of the Archives' was attempted, which met obstacles and had to be abandoned. This would have made it possible to determine the best place for the Archives in the French administration, and to re-think the whole policy of the *Direction*. These invaluable volumes of *Archivum* can not only make it easier to draft archival legislation in countries where none exists, but also can make others - especially in France - think about all the problems involved and, by solving them, bring about the introduction of legislation for the Archives of France and general regulations for the French Archives.



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Item 12 of the provisional agenda

REPORT OF THE DIRECTOR-GENERAL ON THE STUDY REGARDING PROBLEMS INVOLVED IN THE TRANSFER OF DOCUMENTS FROM ARCHIVES IN THE TERRITORY OF CERTAIN COUNTRIES TO THE COUNTRY OF THEIR ORIGIN

SUMMARY

In pursuance of the resolution 5.1 adopted by the General Conference at its nineteenth session and the Programme and Budget for 1977-1978 (paragraph 5048) approved by the General Conference at its same session, a detailed study was undertaken on the transfer of documents from archives in the territory of certain countries to the country of their origin.

In the light of this study, the Director-General has prepared, and hereby submits to the General Conference, the present report on the problems involved in the transfer of documents from archives in the territory of certain countries to the country of their origin. This report summarizes the conclusions and recommendations of the study and of a series of consultations with specialists on the problems involved in the transfer of such documents.

It contains a plan of action and a statement of principles and guidelines intended to facilitate negotiations and agreements between or among Member States in respect of matters concerning the transfer of archives.

Point for decision: paragraph 37.

I. INTRODUCTION

1. At its eighteenth session the General Conference adopted 18 C/Resolution 4.212 by which it, *inter alia*, invited "Member States of Unesco to give favourable consideration to the possibility of transferring documents from archives constituted within the territory of other countries or relating to their history, within the framework of bilateral agreements". By the same resolution, the General Conference recommended that, "in consultation with the appropriate non-governmental organizations, the Director-General envisage the possibility of a detailed study of such transfers and that he inform the nineteenth session of the General Conference thereof".
2. In pursuance of this resolution, the Secretariat organized at Headquarters, from 16 to 18 March 1976, a consultation with a group of experts in order to have a preliminary exchange of experience and to obtain the views of specialists on this subject. The group of experts identified the main issues of the problem and recommended to the Director-General the need for a preliminary investigation of the issues before undertaking a detailed study. (1)
3. The Secretariat then requested the International Council on Archives to undertake a preliminary investigation, and the Director-General presented a progress report on these activities to the nineteenth session of the General Conference (document 19 C/94). Since the preliminary investigation (2) was expected to report favourably on the need for a detailed study of the question, the attention of the General Conference was directed to the intention of the Director-General, expressed in 19 C/5 (paragraph 5048), to prepare a follow-up action through a detailed study of the transfer of documents from archives in the territory of other countries to the country of their origin, the results of which would be communicated to the twentieth session of the General Conference.
4. Following approval of this proposal (19 C/5 Approved, paragraph 5048), the Secretariat asked the International Conference of the Round Table on Archives for the detailed study. (3) The publication of the draft of this study was subsequently approved by the Secretariat for use as the working document for the Seventeenth Conference of the Round Table on Archives, which met in Cagliari 5-8 October 1977. To ensure adequate representation of the views of developing countries on this problem, the Secretariat through its subvention to the International Council on Archives provided financial assistance to the national archivists of a number of Member States so that they could participate in the Cagliari Round Table.
5. In concluding its follow-up action the Secretariat organized at Headquarters, from 29 to 31 March 1978, a second consultation with a group of experts to consider the conclusions and recommendations of the detailed study in light of the discussions and findings of the Cagliari Round Table, and to advise the Director-General on the nature of the report which he might wish to submit to the General Conference at its twentieth session.
6. This report summarizes the conclusions and recommendations of the preliminary and detailed studies and of a series of consultations with experts on problems involved in the transfer of archives. It relates these problems to the broader question of restitution of other types of cultural property, proposes a statement of principles and guidelines to facilitate negotiations and agreements between Member States in cases involving conflicting claims to archives, particularly after decolonization, and recommends a programme of international and national action to assist in the solution of these problems.

II. ARCHIVES AND CULTURAL PROPERTY

7. Archives are universally recognized as an essential part of the heritage of every national community. Since they are indispensable in the development of national awareness and identity, they constitute a basic part of the cultural property of States.

- (1) Final Report of Consultation Group to Prepare a Report on the Possibility of Transferring Documents from Archives Constituted within the Territory of other Countries. Paris, 16-18 March 1976 (CC. 76/WS/9).
- (2) Archival Claims: Preliminary Study on the Principles and Criteria to be Applied to Negotiations, by Charles Kecskemeti (PGI 77/WS/1), published in English and French.
- (3) Constitution and Reconstitution of National Archival Patrimony: Report to the Cagliari Round Table, Section I. Statistical Elements for Determining the Scope of the Problem, Section II, Appendix I, Part I; Historical Chart of the Agreements on Archival Transfers, Section II, Appendix I, Part II, by Christian Gut.

8. The inclusion of archives within the broad definition of cultural property is fully recognized. The "Convention on the means of prohibiting the illicit import, export, and transfer of ownership of cultural property", adopted at its sixteenth session by the General Conference, specified archives as one of the major categories of such property (Article I (j)). In addition, archives are one of the types of cultural property covered by the proposals which, in accordance with 19 C/Resolution 4.128, the Director-General is submitting to the General Conference in connection with the establishment, by the General Conference at its current session, of an intergovernmental committee to be entrusted with the task of seeking ways and means of facilitating bilateral negotiations for the restitution or return of cultural property to States having lost them as a result of colonial and foreign occupation. (4)

9. At the same time, however, it must be recognized that archives have an official and legal status different from that of most types of cultural property. Archives which were originally created to accomplish administrative transactions also serve as the evidence of those transactions. Both as evidence and because of the information they contain, they are indispensable for the continuing administration of all activities within the jurisdiction of the State. They not only document the experience of the people, but they also record and safeguard the rights and interests of the government and of individual citizens. Archives thus constitute irreplaceable legal titles and evidence which is essential to guarantee continuity in the exercise of the functions incumbent on public authorities.

10. This special status of archives has been expressed by the International Law Commission of the General Assembly of the United Nations as follows: "While one can conceive of a State without a navy, for example, it is impossible to imagine one without a currency, without a treasury, without funds, and without archives... which constitute... these kinds of State property which are most essential and most widespread - so much so that they can be said to derive from the very existence of the State. (5)

11. The International Law Commission further observes that "State archives, jealously preserved, are the essential instrument for the administration of a community. They both record the management of State affairs and enable them to be carried on, while at the same time embodying the ins and outs of human history; consequently, they are of value to both the researcher and the administrator. Secret or public, they constitute a heritage and public property which the State generally makes sure is inalienable and imprescriptible. (6)

12. In dealing with problems of restitution of and access to cultural property, it is therefore essential that, where appropriate, the legal and official character of archives, and their special status as public property of the State deriving from the basic sovereignty of the State itself, be taken fully into account.

13. In discussions of archival claims a distinction is sometimes made between public and private archives. This is a legal distinction that not only differs significantly from State to State, but that has undergone change from time to time in the same State. Furthermore, in some States, archives that were once regarded as private have been or are now accorded the status of official records, for example, church registers of births, marriages, and deaths that have been used to establish citizenship rights or eligibility for certain public benefits. The proposed principles and guidelines contained in this report should therefore be understood to apply to all categories of archives within the jurisdiction of the State. The concepts relating to the general protection of cultural property, which may in particular cases be supplemented by specific national legislation, are applicable to all other categories of archives.

III. MAIN ISSUES OF THE PROBLEM

14. Changes in territorial boundaries and sovereignty have deprived a number of countries of ownership or convenient access to at least part of their archival heritage. It is therefore important to all nations, and to mankind generally, that the restitution of archives and the problems of providing access to archives should be dealt with urgently.

(4) The proposals will be examined under item 12 of the provisional agenda of the twentieth session of the General Conference. See document 20 C/86.

(5) Eighth Report on Succession of States in Respect of Matters Other than Treaties. Draft Articles with Commentaries on Succession to State Property, by Mohammed Bedjaoui, Special Rapporteur, document A/DN.4/292, dated 8 April 1976, p. 25.

(6) Ibid., p. 54.

15. The studies and reports referred to above indicate that problems involving archives usually arise in one of the following circumstances:

- (a) changes in sovereignty over a given territory without the creation of a new State;
- (b) transfers which took place during wars, or as an effect of military occupation;
- (c) the emergence of new States through the splitting of former political entities;
- (d) the effects of colonization and decolonization, which require consideration of the following categories of archives:
 - (i) archives created and retained in the metropolitan countries;
 - (ii) archives created in the colonies and transferred to other colonies;
 - (iii) archives of a colonial administration created in the former colony and removed to the metropolitan country at the time of independence;
 - (iv) archives of a regional colonial administration which relate to more than one now independent State;
 - (v) archives created in the colonies during the metropolitan administration and inherited by now successor States.

16. An analysis of more than 200 treaties, conventions, acts, agreements, and other legal instruments relating to the cession and transfer of archives⁽⁷⁾ indicates the existence of a variety of routine policies and procedures for the transfer of and access to current records and archives in cases of cession of territory between existing States, for the restitution of archives evacuated or removed during war time or military occupation, and for the reconstitution of the archival heritage of formerly sovereign or autonomous States. However, no policies and procedures have been developed for the transfer of ownership of archives to new States created through decolonization.

17. With regard to the creation of new States, there has been general recognition of the principle that such States have a right to certain archives, but there has been no generally accepted doctrine or criteria for determining such transfers. Nor has there been any consistent policy or procedures for implementing such transfers in the very few cases where multilateral and bilateral agreements have been concluded and implemented. Moreover, a significant portion of the existing source materials relating to the history of those countries which, for extended periods, have been under foreign administration, has been created and therefore automatically located outside the national territories of these new States. To the problems of ownership of archives must therefore be added related problems of access. Those involved in conflicting claims have asserted a wide variety of principles and criteria, which in turn have been variously interpreted and frequently subordinated to political, economic, and other considerations. It is this lack of generally accepted principles and guidelines to assist in the formulation of multilateral and bilateral agreements that has made essential the international consideration of these problems.

IV. STATEMENT OF PRINCIPLES AND GUIDELINES

18. Objective

In light of the above considerations, the objective of this proposed statement of principles and guidelines is to provide to all Member States an instrument of reference intended to facilitate negotiations leading to the conclusion of special agreements, either bilateral or, if appropriate, multilateral, with a view to the resolution of conflicting archival claims.

19. Bilateral and multilateral negotiations and agreements

Because the patrimonial character of archives as State property derives from the basic sovereignty of the State itself, problems involved in the ownership and transfer of State archives are fundamentally legal in character. Such problems should therefore be resolved primarily through bilateral or multilateral negotiations and agreements between the States involved. The agreements should specify all practical and financial responsibilities with respect to their implementation.

(7) See the works cited in notes 3 and 5 above.

20. International law principles, policies and procedures

During bilateral or multilateral negotiations, recourse should be had, to the maximum extent possible, to the relevant principles of international law and the policies and procedures developed thereunder, especially those relating to succession of States in respect of matters other than treaties.

21. National laws and regulations

Since State property, and especially the alienation of State property, is subject to specific legislation and procedures in most countries, due regard should be given to such legislation and procedures to help facilitate the formulation of transfer agreements. It is particularly important that attention be given to the definition and status of archives as provided by the laws and regulations of the particular States involved at the time of the removal or the transfer of the archives.

22. Retroactive sovereignty

In accordance with United Nations resolution 1514 (XV) of 1960, and resolution 2625 (XXV) of 1970, it is essential that the legal status of new States should be extended backwards to the period preceding their independence. This will materially assist in negotiations in cases of decolonization and the creation of new States because of the absence of any clear precedents from international law in such cases.

23. Provenance (respect for the integrity of archives groups)

It is equally essential that to the fullest possible extent the archival principle of provenance or respect for the integrity of archives groups should be observed in all proposed transfers of archives. In accordance with this principle all archives accumulated by an administrative authority should be maintained as a single, indivisible, and organic unity in the custody of that authority or its legally designated successor. This is necessary to preserve the integrity and value of archives as titles, as proofs, and as both legal and historical evidence.

24. Functional pertinence

The only significant exception to the principle of provenance derives from the application to archives of the concept of functional pertinence. The transfer of powers, responsibilities, and competencies to a new State must necessarily be accompanied by the transfer of titles, proofs, and information which will render the exercise of these powers and responsibilities possible. With regard to archives, there must be a transfer of those which are functionally pertinent in order to provide administrative continuity for all parties concerned. This concept makes it possible to determine the ownership of archives groups accumulated by administrations responsible solely for the affairs of a given non-sovereign political entity, whether or not the administrations operated within and were located within the territory of that political entity. Archives groups accumulated in such cases form part of the heritage of the successor to the political entity concerned, and not of the State or administration which was exercising sovereignty at the time the archives group was created or in the place where it was created.

25. Joint heritage

Where an archives group or a body of archives results from the activity of an administration where succession is shared between the predecessor State and two or more successor States - i. e. where the archives form part of the national heritages of two or more States but cannot be divided without destroying its juridical, administrative, and historical value - as a realistic solution recourse should be had to the concept of joint heritage. The practical result of the application of this concept is that the archives group is left physically intact in one of the countries concerned, where it is treated as part of the national archival heritage, with all of the responsibilities with respect to security and handling implied thereby for the State acting as the owner and custodian of that heritage. The States sharing this joint heritage should then be given rights equal to those of the custodial State.

26. Right to historical continuity

In the application of the above principles and guidelines it should be understood that every national community has the right to an identity acquired from its history. In the name of human solidarity, national communities are required to assist each other in the search for historical truth and continuity. Access to archives is indispensable in this search and in the establishment of a national identity.

27. International co-operation and understanding

It is well recognized that the foregoing legal and archival principles and concepts will not necessarily result in the successful resolution of problems involved in the transfer of archives without a background of a spirit of international co-operation and a recognition of moral principles and obligation by the Member States involved. Also in negotiations and the formulation of agreements between nations, special attention should be given to the international contribution toward the establishment of the new economic order which can be promoted directly through more liberal access to the informational content of archives and generally through the cultural development of the developing countries. The role of archives in such development does not need to be reiterated.

V. A PLAN OF ACTION

28. It is within the competence of Member States to solve problems relating to archival claims through bilateral or multilateral negotiations and agreements taking into account the principles and guidelines detailed above. In addition, Unesco should carry out a programme of action which would promote and facilitate the negotiations and implementation of agreements between Member States in this area. This programme was discussed at the Consultation on Archival Claims held in Paris in April 1978 and received the unanimous support of its members.

29. The programme, to be undertaken in co-operation with the International Council on Archives and other competent non-governmental organizations, is briefly summarized below.

30. Inventorying of sources

Unesco assistance would be continued for existing projects for the compilation and publication of guides to the sources of history of the nations of Africa, Asia, and Latin America. In these projects particular attention will be given to the identification and listing of both displaced archives and of documents relating to a nation's history that are properly located in foreign archives. The inventorying of sources is regarded as a basic action in promoting the solution of problems in this area.

31. Feasibility study for data base of sources

A feasibility study would be undertaken of the possibilities and problems involved in applying automated storage and retrieval systems and techniques to information on sources of national histories located in foreign archives.

32. Model agreements

To facilitate the negotiation of new agreements, financial support would be given for the compilation and publication of model bilateral and multilateral agreements and conventions concerning the transfer of archives, the establishment of joint heritages, and regulations providing for access thereto.

33. Pilot project

As a means of studying the procedures and techniques to be applied in actual situations involving the transfer of archives or the establishment of a joint heritage, action would be taken, upon the request of governments involved in current bilateral or multilateral arrangements, to establish a pilot project so as to share this experience with other interested Member States. The project would include a study of the formal agreement; surveys and studies of the procedures and techniques for identifying, testing and copying documents; and possible financial assistance for the above activities and for related fellowships and study grants.

34. Feasibility study for establishment of a microfilming fund

Because of the numerous proposals that have been made for the creation of an internationally-financed and managed microfilm fund to assist in the solution of problems involved in the transfer of archives and in obtaining access to sources of national history located in foreign archives, a feasibility study would be undertaken to define the dimensions of the problem, to determine all relevant cost factors, and to study administrative, procedural, and technical problems in the establishment and operations of such a fund.

35. Infrastructure development

Assistance would continue to be provided, chiefly through existing programmes, toward creating in Member States the conditions required for the proper housing, preservation, and general administration of restituted archives. The assistance would include providing to these countries the equipment and manpower training necessary to provide copies of documents required by other Member States, and appropriate language training and training in foreign administrative procedures and record-keeping systems and practices so that restituted archives would be fully accessible to all users.

36. Budget implications

If the plan of action outlined above is to be launched in 1979-1980, additional resources estimated in the order of \$50,000 under the regular programme would be required. The Director-General will make efforts to provide the necessary sum within the existing provision of draft document 20 C/5 through internal adjustments.

37. Draft resolution

The General Conference may wish to adopt the following resolution:

The General Conference,

Recalling resolution 212 adopted by the General Conference at its eighteenth session,

Having examined the Report of the Director-General on the Study regarding Problems involved in the Transfer of Documents from Archives in the Territory of Certain Countries to the Country of Origin (20 C/102),

Notes the Statement of Principles and Guidelines contained in paragraphs 19-27 of document 20 C/102, as an instrument of reference intended to facilitate negotiations leading to the conclusion of bilateral and/or multilateral agreements, with a view to solving conflicting archival claims,

Invites Member States to take into consideration this Statement of Principles and Guidelines in matters relating to such archival claims,

Notes the plan of action contained in paragraphs 30-35 of document 20 C/102,

Invites the Director-General to make efforts to find the necessary funds to implement the above-mentioned plan of action through appropriate adjustments within the Programme and Budget foreseen for 1979-1980 (document 20 C/5).

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ILLINOIS ARCHIVAL INFORMATION

MARGARET C. NORTON, Editor*

THE PLACE OF ARCHIVES IN GOVERNMENT†

MARGARET C. NORTON*

PROBABLY most of us, when we think of archives, have a mental picture of an old monk bending over a beautiful illuminated manuscript in the scriptorium of a monastery. Of course we know that State records are not illuminated manuscripts, and those of you who have followed our exhibits in the State Archives are aware that

very few of our records are sufficiently photogenic to make an interesting display without much collateral illustrative material. Very few government workers, however, quite realize to what extent record making has been revolutionized since the beginning of the last quarter of the nineteenth century, or, what is more important, that until very recently Illinois officials have been handicapped in record making and disposal by obsolete records laws which antedate that revolution.

In the early days of Illinois government no State office had many employees and the quantity of records produced very small. Our slang phrase "Keep that under your hat" refers to the habit of Lincoln and many of his contemporaries of carrying their papers in their "stove pipe" hats much as present day lawyers and business men carry brief cases. There is one amusing instance in Illinois history of a legislative clerk reporting that a gust of wind had blown away both his hat and the enrolled bill which he was carrying in it, on his way back from taking the bill to the Governor for the latter's signature. The members of the General Assembly were not quite sure how to handle this situation but finally passed a joint resolution explaining what had happened, nullifying the original document and ordering a re-engrossing and resigning of the bill.

Paper and parchment were scarce and expensive. Records were not set

† Address before the Springfield Civil Service Assembly, February 19, 1952.



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After graduating from the old New York State Library School in Albany (B.L.S.) she did library work in the Vassar College Library, the Archives and History Department

of the Indiana State Library and the State Historical Library of Missouri.

In 1922 she came back to Illinois to organize the new Archives Section of the Illinois State Library which she has headed since that time.

Miss Norton has been active in committee and other work of such professional organizations as the American Historical Association, the Mississippi Valley Historical Association (life member), A.L.A., National Association of State Librarians (Secretary 1933-38; honorary member), and the Society of American Archivists (Council Member, President 1944-45, Editor *The American Archivist* 1945-48). In 1950 she was one of the two delegates from the Society of American Archivists to the First International Congress of Archivists held at Paris, France.

The summer of 1940 Miss Norton taught the first class on archives held by an American library school, at Columbia University.

Since 1938 she has conducted the Archives Information column in *Illinois Librarian* and has contributed numerous articles and reviews to this and other library, historical and archival publications.

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down in writing unless they were important. Such records might be called, for want of a better term, "record records." These consist of: First, official documents given as an expression of some legal right, such as deeds and patents for real estate, contracts, bonds and like instruments. Second, registers of facts kept by the government to protect the rights of individuals or of the government, or to record official acts. Examples are registers of wills, marriages, official registers of duly commissioned civil and military personnel, proceedings of official boards and the file of documents presented to those boards for action.

The invention of cheap sulphide paper, of the typewriter, of the mimeograph, and more recently, of punch card tabulators and microfilm, have revolutionized record making facilities. The first non-rag paper appears in Illinois State records shortly before 1840, the first typewritten document found in the Archives is dated 1876.

Parallel to these new facilities for making records there developed increasing complexity in governmental organization. The number of functions to be performed and the rapidly growing number of employees made it increasingly difficult for executives to keep track of what was going on in their offices. Just as manufacturers hit upon the idea of the assembly line as a means of dividing mechanical processes to the point where more people could do more work with less supervision, so administrators turned increasingly to the use of forms and multiple copies of documents as a means of dividing and at the same time controlling the work of their subordinates.

The period of rapid expansion in the creation of records began, as we stated before, in the last quarter of the nineteenth century. The National Archives surveys showed that federal

records for the period 1917 to 1930 equalled the bulk of all such records from 1776 to 1917, and that the records for the period from 1930 to 1940 equalled the quantity for those two periods together, while World War II piled up records in astronomical proportions. The same story could be told for the State Archives of Illinois.

The creation of records was until quite recently a matter of expediency. Each new executive demonstrated what a bright young man he was by the number of new forms he devised and the new filing system he installed. Emphasis was all upon how to accomplish today's work most expeditiously, but no thought was given as to how the resultant records could be used in the future. No attempt was made to segregate the ephemeral from the permanent material—everything was filed together.

The inevitable happened—no agency could afford the amount of storage space required to keep everything. Only the executive was capable of sorting the wheat from the chaff, and he had neither time nor inclination to do so. Increasingly department heads and division chiefs were irritated by the inability of file clerks to produce older records needed for purposes of consultation.

The Archives Department, originally in most states looked upon as a luxury—a place to preserve "historical" documents—were inundated with records in which the departments could not locate needed documents, but which, by some sort of magic, the archivist was supposed to be able to service quickly and efficiently. Soon even the archival system threatened to break down. Many department heads simply closed their eyes to periodical cleaning out of storerooms, despite Section 401 (Sect. 176 or 1874 act) of chapter 38 of the Criminal Code which sets a penalty of from one to seven years in the penitentiary if "any person what-

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soever shall steal, embezzle, alter, corrupt, withdraw, falsify, or avoid any record. . . ."

This section of the criminal code has come down to us, unaltered, from the criminal code of 1845, written thirty years before the typewriter and its train of record multiplying facilities. In 1845, to paraphrase Gertrude Stein, "a record is a record is a record," and if this law were interpreted narrowly, any slip of paper that fluttered into an office would constitute a record. The obvious absurdity of a law which makes no distinction between a clerk's requisition for a pencil and the enrolled Constitution of the State, naturally bred contempt towards its observance. We know of no instance where a State official has ever been prosecuted under this Act for destruction of records except where he was accused of doing away with a record to cover up an otherwise criminal procedure. However, many an executive has been embarrassed and handicapped by his inability to produce documents which had been inadvertently lost or destroyed.

More precise definitions of the terms "records" and "non record materials" were attempted in the 1951 revision of the State Records Commission. The Commission is also authorized by this law to give further interpretations to the term "non record materials."

State officials are now aware of the connection between efficiency in their records system and in their office organization. A new profession, called records management, is emerging. Because this work is so new there are as yet few practitioners. In 1950 the Congress passed a law requiring each federal department to employ a full time records management officer whose duty is to coordinate all records systems in the department and to engineer the records created to the precise needs of the agency. Thus, in-

stead of the old time sorting out of permanent from obsolete records after the records have accumulated, the records management program will indicate, at the time the records come into existence, which records shall be deemed of permanent value and how long each category of records needs to be retained for administrative purposes. Furthermore, records management sees to it that there are no gaps in the information which should be filed.

We in Illinois are working towards planned records systems, each designed for the needs of the department, and implemented by retention schedules which will permit departments to make appropriate disposal of their records as soon as each category of records ceases to have further value for administrative purposes of the department of origin, such disposal to include transfer of non current records to the State archives, substitution of microfilm copies for originals and destruction of completely obsolete records. Several departments had secured legislation prior to 1951 which permitted retention schedules for some of their records. It is difficult, however, to define categories of records in sufficient precision for such legislation. Some of these laws were too narrow in scope, some gave dangerously broad powers of decision to administrators who in ordering destruction of records might not take in to consideration potential values of records for other than current administrative use.

The Schaeffer Commission to Study State Government recommended that the State Records Commission should be enlarged by the addition of representatives of the legal and financial departments of the State, and that this Commission review and approve all proposals relating to records destruction. The 67th General Assembly which met in 1951 revised the 1943 State Records

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Act accordingly. The ex officio members were abolished, the Archivist of the Illinois State Library and the State Historian are Chairman and Secretary, respectively, the State Librarian was continued as a member and two new members were added, namely, the Attorney General and the Director of Finance. Section 7 was added, which reads, "Regardless of other authorization to the contrary, no record shall be disposed of by any agency of the State unless approval of the State Records Commission is first obtained." Pending the issuance of opinions by the Attorney General as to problems which have arisen with respect to interpreting the powers of the Commission under the law, no further discussion of the newly reorganized State Records Commission will be given here. Copies of the Rules and Regulations and Application Forms can be secured from the Archivist's office.

Most of this audience is familiar with the operation of the Archives Department of the Illinois State Library so that it is unnecessary to elaborate here upon the various functions of that institution. The principal functions of your Illinois Archives are (1) the housing of permanent State records in two types of vaults, archival and departmental; (2) advisory services to State and local officials and to other interested parties; and (3) the Photographic Laboratory which does work not only for the Archives Division but also for all departments of the State Library and for the Secretary of State's Office.

In general, records which are housed in the State Archives proper must be consulted at the Archives Building under the supervision of the Archives staff. Records in Departmental vaults are subject to the immediate jurisdiction of the Departments to which they belong, the Departments alone have access to those records, and documents may be re-

moved from the files for Departmental Office use at the discretion of the Department. Many State officials are confused as to the types of records suitable for transfer to the Archives and those which they should place in Departmental Vaults. A discussion of that subject will follow in the latter section of this paper.

Housing of permanent State records and security microfilm copies of State and County records in the Archives vaults (i.e., of records placed under the legal custody of the Archivist), includes physical care of the records and servicing reference calls for their use. Physical care involves placement in proper filing equipment, keeping the records free from deterioration caused by dirt and deleterious atmospheric conditions and repair where necessary. Reference calls require the making of inventories, guides, indexes and other finding tools to facilitate rapid service; also a knowledge of the history of the development of the functions of State Departments to enable us to understand the objectives and contents of non-current records. This specialized acquaintance with older departmental organizations and records which it is the business of the Archives Department to have, permits more adequate service than can be given by clerks who can only be expected to know present day procedures.

The advisory services offered by the Archives Department takes the form of advice on problems relating to records management and participation in the work State Records Commission by the State Librarian and the Archivist. Advice on records management concerns disposal of records, planning of records systems to keep down the bulk, and advice on proposed microfilming projects (what and where applicable, and equipment). Properly speaking, the creation of records is the function of the Department and not of the Ar-

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chivist whose principal duty it is to take care of the permanent records entrusted to her. However, until the various Departments are able to set up their own Records Management programs, the Archives Department is probably in the best position of any to be helpful in such matters. These advisory services on records to State officials are also available, on request, to county and other local officials through the Field Visitor for Archives. A most important phase of our work with county officials is free housing of insurance microfilm copies of county records. These microfilms are deposited under seal and are subject to orders by the county board. They are not open for reference use.

The Photographic Laboratory is equipped to do still photography (including pictures in color and slides), photostating, microphotography and movies. The Laboratory does all the publicity photography for the Secretary of State's Office and the State Library. This includes not only pictures to accompany press releases, but illustrations for reports and for exhibit purposes. The pictures in the biennial Illinois Blue Book issued by the Secretary of State, except some of those supplied by other Departments to illustrate their operations, are the product of this Laboratory.

The photostat is used to do copy work required by all departments of the State Library. Also, since it is the type of machine equipped to copy on double faced emulsion paper, we do direct recording for certain departments of the Secretary of State, notably the Corporation Department. Enlargements from microfilm are also made through a special attachment to the photostat.

The microfilm section of the Laboratory is equipped with both a portable and a large size machine, the latter taking copies of extra large and bound volumes. Owing our own processing machine and enlargers, we are

able to give quick service to patrons desiring copies of archival records. The camera is also used for copying documents for the library where we can only borrow a copy, also in making copies of rare items for inter-library loans. We are not equipped to do microfilming for large scale projects. The making of records on film is, as stated above, the responsibility of the Department involved, a process of creation, in contradistinction to the process of preservation, the latter function only being that of an archival agency. The microfilming needs of the various Departments call for individual study and selection of type of equipment needed to do the particular work contemplated.

Since the records officers of the various Departments show some degree of confusion over what types of records are suitable for transfer to the Archives Building — which types should go to the Archives Vaults and which types are suitable for transfer to their own Departmental Vaults, it may be helpful to discuss some of our recommendations in this respect.

First of all, the Archives Building is not a warehouse. The expensive construction used, fireproofing and other safety devices, air conditioning and the finest of equipment, limited the size of building which could be erected under available appropriations. We often call the Archives Building the "safety deposit box" for State records. To ensure that the more important records shall not be crowded out by trivia, it is necessary to be selective and to limit the records acceptable for housing in the building to permanent, original records.

What types of records are acceptable? The initiative as to whether a certain category of records shall be deposited in the Archives vaults (that is, with legal jurisdiction relinquished to the Archives Department), is left to the Department to which

the records appertain. Legal and use limitations to deposit in the State Archives are best understood by the State official concerned. By and large, the following categories of records are considered suitable for transfer to the jurisdiction of the Archives Department. Some of the examples cited might of course be listed in more than one of the classifications below.

1) Historical Treasures. Examples of such records now in the State Archives are the first State Constitution (1818), the earliest Cahokia notary record (1737-68), the territorial Executive Register (1809), the Journals of the Territorial General Assembly (1812-18), the first census (1818), records of Lincoln's service in the General Assembly, and the Enrolled Laws starting with 1812 and containing many interesting documents such as the first free school law, early charters of towns, cities, schools, railroads and businesses. In saying that records of historical importance are suitable for transfer to the Archives, it should be noted that the practice of abstracting individual documents from files to put them in the Archives is frowned upon, since integrity of files is a basic principle in archival administration. The whole file for the periods covered should be transferred.

2) Records deposited for safekeeping because of their extreme value. Among such records now in the Illinois Archives are the Constitution of 1870 and the records of the Constitutional Convention which wrote it; the deeds and abstracts to the real estate which the State owns; the enrolled laws; interstate compacts; corporation reports; and insurance microfilm copies. Some of these records are current records which for obvious or security reasons are in need of special protection. Departments depositing current records may impose reasonable restrictions on use of the records, such as requiring that the Department be called upon to secure

and issue information from the records.

3) Records still in active use, but for purposes other than administration of the Department in which they originated. For instance, the service records of Illinois soldiers in the Civil War are referred to heavily by persons writing family histories, seeking admission into hereditary societies, marking graves and by other states completing their G.A.R. records. There is no reason why these records, which have no relation to the civil defense activities which are the main duties of the Adjutant General, should be serviced by his staff. To the information found in these records the Archives Department is often able to add helpful collateral data, saving the patron the necessity of writing to two departments.

The Illinois and Michigan canal records include, among other items, records of sales of canal lands and original field survey notes. These land records are in frequent use by abstract companies and lawyers in clearing titles and dovetail with collateral records from the Executive Department of the Secretary of State's office. The original field notes, often merely pencilled notations, are proving invaluable in establishing the State's right of way for the new superhighway into Chicago which is to supersede the old canal.

The census records, originally taken to form the basis for apportionment of representation in the General Assembly and the Congress, are now used entirely for genealogical purposes. How we now wish that those who planned the forms had thought of a few additional items which could so easily have been included and which would provide so many missing links in family histories!

When the State Architect restored the old Vandalia State House a few years ago he depended quite largely

upon legislative inventories, contracts and allusions in the Journals of the General Assembly. The early election records might also be cited as one of many records used now chiefly for historical purposes — and for settling election bets.

4) A fourth type of records suitable for the Archives are records having no further administrative use, but with present or potential research value. An excellent example is the series of Agricultural Statistics taken jointly by the State and federal Agricultural Departments. These show for each farm in the State the varieties of crops and livestock produced, in what quantity, the sales prices, profits and losses, number of acres, whether the land is owned or rented by the farmer, and other matters. These are of slight interest at present but we suspect that the economic historian of fifty years hence will be thrilled by this detailed information about the revolution from corn as the principal Illinois crop to the more diversified farming of today, and be able to study the effect of mechanization and other social factors on sizes and ownership of farms.

5) Where microfilm has been substituted for original records for office use, it is sometimes desirable or necessary to preserve the original records, and in that case the Archives is the proper place in which to preserve them. Two instances come to mind. The World War I bonus records were badly charred and partially destroyed in the State Arsenal Fire of 1934. The Adjutant General has microfilmed these documents for office use and deposited the originals in the State Archives.

The Department of Registration and Education has kept its application files on professional licenses in its Department Vault in the Archives Building. Efficient administration demands such frequent consultation of the records that the De-

partment is now microfilming the file for office use and depositing the permanent original records in the Archives.

6) Inactive records which can be serviced adequately without removal from the Archives Building. Example of such records are minutes and other records of boards and commissions superseded by the Code Offices (e.g., minutes of the old Board of Administration,) deposited by the Department of Public Welfare; and superseded registers of the predecessors of the Department of Mines and Minerals. The Insurance Department, for instance, has deposited its older, very bulky, reports by insurance companies.

Just in passing, it may be of interest to note how the records in the State Archives are used. For the past biennium 76% of our reference calls related to State business, 16% to family history, 6% to history, and 2% to advisory services. Under the classification "family history" we include service on military service records from the Adjutant General's office, which we have through the Spanish American war. Some of these calls still include pension and civil service status claims, requests from other states for completing their records on Illinois veterans who later lived in those states, and for information useful in marking graves, all of which might properly be added to the list of references for State business. The relatively low percentage of calls for genealogy and history is accounted for by the fact that the Illinois State Historical Library, a separate institution, performs many functions ordinarily assumed by the State archival agency.

What sort of records should be deposited in the Departmental Vaults? As stated above, the records in the Departmental Vaults are those permanent records still in semi current administrative use, over which the

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Department retains immediate jurisdiction. The Archives Department through its charge-out system for the keys issued to authorized clerks, keeps track, for the convenience of the Department head, of the goings and comings to these vaults, but the Archivist and her staff have no access to these vaults. Records may be removed for office use without any checking with or interference by the archival staff. Some of the many more important State records which the Departments have felt need the physical and moral protection of the Archives Building are the following:

- 1) Supreme Court case records, 1818—
- 2) Civil Service Commission. Case records on State civil service employees.
- 3) State Treasurer. Record of warrants issue; bond registers.
- 4) Auditor of Public Accounts. Record of warrants cashed and cancelled. The basic land records of the State; the surveys and sales records of the U. S. Land Offices in Illinois; sales of State owned lands.
- 5) Department of Mines and Minerals, Mine maps (being originals of

those used by the Mine Rescue Stations).

6) Division of Architecture and Engineering, Department of Public Works and Buildings. Original plans, specifications and contracts for State buildings.

7) Department of Insurance. The "official file" on authorizations of insurance companies doing business in Illinois.

8) Teachers' Retirement System. Case records on teachers paying into or receiving benefits under the System.

9) Division of Vital Statistics, Department of Public Health. Original birth and death certificates.

10) Secretary of State as recording officer for the Governor. Applications for pardon and commutation of sentence.

11) Adjutant General. Service records for the Illinois National Guard.

The Archives Department of the Illinois State Library will be glad to offer any assistance in its power in relation to the housing or other care of public records.

* * * * *

PROFESSIONAL TRAINING OF ARCHIVAL PERSONNEL

An international standard for the training of archivists and records managers

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The RAMP guidelines on curriculum development in the training of archivists and records managers are shortly to be issued. They will not try to impose uniformity but to give guidance on both general and specific problems which underlie professional training (senior, intermediate and para-professional) in all countries. The basic aim is to serve the public by providing one of the elements in an efficient information service—a service which has useful functions both in cultural activities, research and administration. This effort may help to resolve two general problems: the deep divisions which exist between traditions of training and administration in different regions; and the need to harmonize archival training with the training of librarians and documentalists. Other problems dealt with include the infrastructure needed for a training scheme and considerations of siting, levels of admission and teaching standard, and the career structure served. The curriculum is also analysed.

The Records and Archives Management Programme (RAMP) of Unesco's General Information Programme is shortly to bring out a 'Model curriculum in records management and the administration of modern archives: a RAMP study with guidelines'. This will be one of a number of guidelines on various aspects of archives and records management practice, and will parallel similar work being carried out within the UNISIST programme.¹ The present article is a commentary on some of the problems encountered when trying to set out a standard for the training and education of archivists and records managers which would be applicable internationally. The main aim is to provide something which would be especially useful as a guide for archival training in the developing world. There is also a hope that the guidelines may stimulate developments in training which will help along changes in professional orientation much desired by the international archival community.

General problems

Two general problems were encountered in attempting to discuss the possibility of an agreed international standard. On the one hand, there is the problem of the cultural, linguistic and administrative discontinuities between the major regions of the world; and on the other, there is the question of harmonizing archival training with the training of other information workers, chiefly librarians and documentalists. Reports written for the meeting of experts on this harmonization, held in Paris in November 1979, highlighted both these problems, and set out lines of approach which have been adopted in the RAMP guidelines.² These reports emphasized the importance of overcoming the difficulty of finding common standards for a training programme which would be applicable in such

different educational traditions, and suitable for such different administrative systems. Archives administration is always deeply rooted in the distinctive historical character of the society it serves. The reports also found that there was a pressing need for rapid development of training facilities in many parts of the world. The figures provided there were reinforced by earlier studies to show that even the smallest countries have a measurable demand for archival training, and for the development of archives and records management services in central government, provincial or city government and in the private sector. All training schemes in the information professions have in common the aim of developing services of direct value to national development and to the public, so that, in this general context, it was thought that a serious attempt to find underlying values and standards would be worth while, both for professional training institutes in the developed world, and for newly established training courses elsewhere.

It is particularly necessary to build up the training infrastructure in records management, a discipline which is as valuable in the more developed countries as it is in developing ones. Records management is in fact taught in most archive training schools in whatever part of the world, but the guidelines may help to adjust the balance of cultural and management courses within the training programme. They should also help to stimulate the development of more technical subjects and, above all, to stimulate the foundation of more training institutions, and to suggest ways in which the development of new training courses could take place. A few years ago the tendency was to set up elaborate regional schools to serve large and diverse areas. These regional schools proved relatively difficult to finance and manage (though at least two of them have been notable successes), and they came up against considerable problems of cultural and historical mixes within their catchment areas. The tendency today is to encourage individual countries to establish their own archive and records management schools to serve their own needs and to realize their own potential. In this situation the need for international standards and a common sense of direction are particularly needed.

Like all other service industries, archives and records management services need an infrastructure in society. Primarily they need the presence of a government with modern development aims and a programme of forward planning. Archivists and records managers are useful to society and to administration, there should be an adequate supply of them (as there should be of other information workers), and they should have a suitable niche in the manpower development plan. Similarly, recruitment and training of candidates could hardly be hoped for unless there were a supply of students emerging from the public education system at the various levels, particularly graduates (at age 21 or above), and school-leavers (at age 16 or 18). The country should have at least an embryonic network of cultural and research institutions, for archivists to occupy a place in research and cultural development as well as in administration. There should be access to international contacts and communication, and access also to an international language. None of the information professions can flourish without this. There should also be some degree of access to relevant technology.

The question of career structures is important. The experience of some countries has been that a depressed career status in any of the information professions has led to lower standards and hence to poor public performance. It is especially important in the less developed countries that investment in services such as archives and records management (or in libraries and documentation centres) should provide a direct return in the efficient management of information useful in government and in planning, as well as in the development of research and cultural programmes. The recruitment of candidates of good quality, and their

effectiveness after training are linked to the career situation which is provided for them, and the general environment they are to work in.

Archives administration and records management are two aspects of a single professional structure, in which three career levels may be distinguished. At the lowest level there are the para-professionals, recruited from school and entrusted with tasks which are essentially in the professional field (for example, the arrangement and description of archives, or the control of records management operations), but which are carried out as processes, and in a setting where there is supervision by professional superiors. Above this, there is the professional level, at which recruitment is from graduates. Their professional work involves the design and supervision of the professional processes, and they have to participate as active and intelligent agents in the information, administrative and research activities of their country. Finally there is a higher level in which personnel who are already experienced become more concerned with management and planning and with external relations, than with the conduct of professional processes within the service. It is not always easy to distinguish these three levels clearly and concretely over international boundaries: for instance the ratio of fully professional staff to para-professional staff varies greatly from country to country—does this mean that the divisions between the levels must be differently drawn in different places? It is felt that all countries have, or should have, appropriately trained workers at all levels, even though they may be differently deployed in any given situation.

More problems arise when it comes to deciding in what context to set up a training school. In Europe, it has never been universally agreed that a separate training in an academic foundation of some kind is better than in-service or apprenticeship training within a large service. To some extent this is a practical problem, since to set up a training school demands that there should be more than a certain critical number of students waiting to be enrolled, that there should be a supply of qualified teachers, and that relevant authorities are ready to finance the school. There are difficulties on all three of these points. Archives schools, by comparison with schools of librarianship, are necessarily small (though not necessarily as small as is sometimes thought: if the needs of public administration and private business were fully met, most countries would have a body of practising archivists and records managers numbered in hundreds rather than in tens).³ Although they have relatively small numbers of students, the training schools need to teach a relatively wide range of subjects, and hence they need to use the talents of several teachers. As if this were not enough of a problem, it is often difficult to find any qualified teachers at all for many of the subjects taught, especially professional subjects. Less developed countries may think carefully before taking efficient and experienced practitioners (even when they have these in post) away from their duties and placing them as teachers in a training school, even though in the long run this may be a good investment of scarce resources. In practice, many teachers of professional subjects will be local practitioners who are teaching part-time. There is a limited place for short-term expatriate experts when these can be provided by interchange schemes.

Because of these problems, the more developed countries have usually placed their archive training schools within larger institutions: either they have been attached to a large national archives service, as in the Federal Republic of Germany or India; or to a school of librarianship and information studies, as in Spain; or to a university. This last is a practice widely followed, and it has many advantages. Not only can the archive school use the academic facilities of the university—bringing in teachers of related subjects, using the lecture rooms,

teaching equipment and libraries—but it can also provide for the physical, cultural and recreational lives of its students by exploiting the university background.

The physical infrastructure of an archives training school is affected by the approach it adopts to the teaching of its subjects. Seminar and meeting rooms tend to determine the character of the groups which use them, and not only by limiting numbers. The teaching character of the school should be a good mix of the practical and the academic, and should have an open style. This implies a conscious intention, particularly for the professionals, to develop a tradition of self-reliance, willing acceptance of responsibility, and the ability to identify and solve problems. The importance of this approach is underlined where there is a need for rapid and early responsibility and the quick development of an indigenous managerial class. Teaching styles, and their setting, are therefore important. There are also some technical requirements: access to a library of professional literature, including non-book materials; and, more controversially, access to an archival conservation laboratory. This would need a staff of technicians to maintain it, and ideally an academic scientist to carry on its research programme; but it is also possible to adopt a low-level approach to conservation, using local materials and only basic technology. In either case the growing importance of conservation as one of the technical needs of society suggests that the training school have a laboratory or workshop wherever possible.

While it is important that the professional associations should be involved in planning training curricula and setting standards, it is also important that the training school, or its parent university, should be responsible for the selection of students to attend the courses. The acceptance of candidates too poorly qualified on the grounds of immediate administrative need can lead to problems for years ahead.

The question of student numbers is of course important. Manpower planning surveys will give some projection of the numbers involved in a particular country, but there is always a tendency to underestimate the underlying potential demand. Experience in less developed countries suggests that initial recruitment of about twenty para-professionals and five professionals might make a useful start, but the circumstances of countries differ so widely that this proportion might even be reversed in some of them. The nature of the subject militates against large numbers. Student numbers are also affected by the nature of the recruitment policy. Where students are only accepted after their recruitment into a public service, there is an external constraint (and it is likely that training for the private sector will be relatively neglected). A completely free market situation also imposes constraints of a different kind. A compromise is possible where students are only, or mainly, recruited from those sponsored by actual or potential employers. There should be close collaboration between the employing agencies, the university, the professional associations and the manpower-planning body. When selecting students for admission, the most important quality which selectors should look for is informed motivation.

The basic entry into archives and records management work is at professional level. Most of the world agrees that trainee archivists should be graduates, that is, they should possess something equivalent to the first degree gained by university students at about the age of 21. After this, they should have a specifically professional training. Put another way, this means that archivists and records managers should have had about four years' education, consisting of the equivalent of about three years' general education at university, plus one year's training in professional courses, counting from the point at which they left the

general secondary-school system.⁴ Basic professional training should therefore be regarded as a master's degree course, as it already is in several countries. It is recommended that the course should last for a complete calendar year, and include some examinable individual work, a project or dissertation. There should be a management bias in the course, and the intention should be to turn out people who can approach their work in a self-reliant and problem-solving spirit. Some graduates in natural science may be recruited if possible, but in general entrance should be given to those holding a first degree which has had some bias towards retrospective documentary research, or the use of primary evidence.

Entrance to the higher grade of archivist/records manager will mainly be by selection after experience. Today, however, the acceptance of technical specialization will probably be an important factor in selecting candidates for higher posts, so that there is a strong case for the provision of advanced training in specialized subjects. These specializations might include the development of automated systems, educational or publications programmes. Instruction in the management sciences would be necessary, and there should be emphasis on individual work which brings the student into close participation with research. Ensuing qualifications should approximate to a doctor's degree. Archivists who become teachers of professional subjects will need advanced training in pedagogics as well as in the appropriate specializations.

The degree of reliance which is placed upon para-professionals varies very much from country to country. Probably a body of para-professionals is always necessary in order that the basic tasks should be performed, but their relative numbers and the amount of responsibility which they should carry depends on external factors. These include the relative difficulty of recruiting graduates, the nature of the career structure, and even the expectations of society at large. There are some professional tasks, such as the management of appraisal (the selection of records for retention or destruction), which should never be left to non-graduates. However, the pressures which smaller organizations can feel to employ only para-professionals to run their domestic archives or records management services may be great. At all events, the main requirement in the training of para-professionals is that courses should be very practical.

Despite this requirement, it is not easy to design satisfactory practical courses (at any level) to be carried out under supervision.⁵ For instance, in records management, practical processes involve handling records which are still active in a system. Normally it is not acceptable to an agency that outside students should have free access to these records. Perhaps the answer to this problem is to mount practicals within the agency which already employs the student; but in this case there is still a problem in allowing the teaching staff to exercise a close and informed supervision, and to define practical tasks which may involve criticizing or altering existing methods.

Another problem is the provision of a career structure for para-professionals. If students who are highly motivated and of good quality are to be recruited, they must have the expectation of rising in their profession; but if they are recruited as school-leavers, they must surmount the barrier of the first degree before they can be considered for entrance into the professional training course. There are sometimes cases where individuals have bypassed this barrier by using their experience and success in work. Generally, though, it must be insisted upon that progress in the profession can only be achieved by getting a degree and further training. Dilution of a graduate profession with non-graduates is not likely to lead to higher standards of performance.

In any case, all grades of staff should be aware of the need for continuing education, and the training system should be designed to foster this.

The curriculum

So far, only general and background considerations have been dealt with. Turning to the courses themselves, the guidelines first classify the subjects to be dealt with, then set out a scheme for dividing these up into modules which would be adapted to the special circumstances of each type of course.

It should be emphasized that it is not the intention of the guidelines to encourage an absolutely uniform system of training everywhere. Each training school should design its courses to fit the circumstances of the country or region, the needs of the archives or records management services which are being supplied, the students themselves, and the teaching resources available.

Apart from a short general foundation, courses are divided into three broad areas: professional core subjects; subjects held in common between archives and the other information professions; and subjects held in common between archives and other disciplines. There are also a small number of specializations which can be treated as electives.

The main purpose of a foundation course is to regulate the element of general education. Normally this element would be provided by the student's general schooling, but there might be a need for a specially designed course which would give some further general education, or some other background knowledge. There might at least be a need for orientation, so that the student could form a picture of the relationship between his discipline and the other areas of information study, and the place occupied by his discipline in national development.

Professional core subjects

The professional studies element includes: records management; archives administration; auxiliary sciences to history and administrative history. The relationship between these would be likely to vary greatly in accordance with the tradition of the country. Thus records management as it has been developed in North America includes a training in information management: the management of forms, reports, mail and filing systems, including technical innovations such as word processing and microforms and the control of office equipment such as copiers and the supplies for them. A more European approach to records management concentrates on methods of retiring semi-current records from active systems, and their control and retrieval in records centres. Both approaches have in common, however, the general aim of improving the management of information and recording media in administration (both public and private), and so making a significant and long-lasting impact upon planning and research standards in their country. If the guidelines set out good standards, teachers will be influenced to choose those elements which suit them best, and will be encouraged to try out innovations which may turn out to be useful.

Archives administration, at least in a theoretical exposition, has come much closer to an internationally accepted standard, though there is still some controversy over terminology. The subject deals with the acquisition, preservation and communication of archives, their administrative and intellectual control. In the last-named, archival practice has tended to become more assimilated to information retrieval practices in the information sciences, so that this aspect is dealt with among the subjects held in common with information studies.

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The auxiliary sciences to history were once dominant in the archival training systems of many countries, but are now slowly giving ground to the study of technical information systems. There will always be a need for the technical interpretation of documents as evidence, and it will always be one function of an archivist to provide this interpretation. The degree to which this will involve him in a knowledge of palaeography, diplomatic, sigillography or the study of ancient languages, will of course vary greatly from country to country, but very few countries will require nothing at all of all this. Large regions of the Third World have a heritage of older archives which require these skills: for instance, the Caribbean islands, or the ancient kingdoms of South and South-East Asia. Some countries of Africa may find that their precolonial archive is entirely non-documentary, but here too there is a need for archivists to take some intelligent part in the preservation and decipherment of information-bearing media (even though not necessarily in directly written form) or in the collection and preservation of oral records. Similarly visual or audio media demand specialist management in some contexts.

Administrative history is the fourth item in this section. This is a subject in which the archivist's contribution is vital. The difficulty is that it is a subject which, by and large, should be researched and taught by archivists, who are the ones who deal daily with the materials for it. It is a problem how to develop administrative (also described as constitutional or institutional) history as a teachable subject in the training of student archivists, when, often enough, the subject cannot be developed without the previous work of those very students. No short-term solutions are possible, especially since this is a case where the usual short-term solution of inviting an expatriate for a period is not likely to be useful.⁶

Common subjects with other information professions

The subjects to be included in courses taught in common with students from the other information professions (librarianship and documentation) were drawn up at the harmonization of training programmes meeting, and now make quite an impressive list:⁷ (a) reprographics: printing, photography, microphotography, xerography; (b) display and exhibition techniques, public education programmes; (c) conservation and repair, at least as regards the management of repair systems and the maintenance of environmental standards for document storage (repair itself is of course a technical subject which specialists must be trained in); (d) information storage, retrieval and dissemination: a group of subjects which once might have been thought of as a central component of archives administration—it is now developing fast, with a complex theoretical and technological base, as an area of information management, which includes cataloguing, classification, indexing and selective dissemination of information, altogether a very solid subject in itself; (e) bibliography and sources of information, reference and bibliographical services, and literature searching; (f) user studies—this subject is much developed in librarianship, where some of the techniques of the social sciences may be used to undertake studies of user populations—it is not certain that archivists need to develop these techniques to the same extent but they certainly need to be able to measure user demand and to organize their work to satisfy it, and it is a good thing that they should be able to mount the same kind of investigation as is used by their colleagues in the other information professions; (g) legislation and regulation—there is now scope for an international comparative study of this, which, considered as a common core subject, should include such

matters as legal deposit, copyright, freedom of information and data protection, as well as less sensitive matters such as the legal definition and control of archives and records management services; (h) security—an important and technically developing subject; (i) building design and environmental controls within buildings; (j) systems analysis, including automation—this innovatory subject will be less immediately relevant in some parts of the world, but it is a safe prediction that some degree of openness to automated systems is desirable everywhere, and it is certain that the ability to carry out an analysis of one's own systems, with the skill to display the findings of that analysis, is an important part of a professional training.

Common subjects with other disciplines

Courses in common with other disciplines are seen as including three elements: the management sciences, languages and research methodology. All archivists and records managers need some command of management skills. For example, management by objective, data-base management, records-system design, some statistical methods, budgeting and cost-benefit analysis would be needed by virtually any professional archivist. At more senior levels, a more advanced knowledge of aspects of management would be needed, for instance, personnel management. The need for some archivists to have a knowledge of an ancient language has already been mentioned. This should be backed by command of an international language for purposes of communication. Research methodology is an important but difficult subject. It is important because the archivist must be seen essentially as a participant in and contributor to the research industry of his country. Records managers should also be seen in this light, and certainly their function as appraisers of records for retention must be carried out in the light of their knowledge of research needs. On the other hand, it is not universally accepted that one can have an organized training in research methodology, except in some specialist branches. It may be that, as with administrative history, the archivists themselves should be the major contributors to an organized and structured study of research methodology; but if this situation develops it is important that they should do it in conjunction with the other active members of the research industry, including historians and other specialists of the social sciences.

Generally, it is recommended that there should be only one kind of training course for all archivists and records managers within the context of the country or region. This course should, as mentioned above, contain some elements which are taught and devised in common with other information workers (where this is institutionally possible), but there should not be a large number of mutually exclusive optional or elective courses. Individual archivists may of course choose to develop a special interest during their careers, but there are not the same wide range of specializations available as there are to librarians. Probably the widest choice is that between concentration on ancient archives and the cultural/research orientation that goes with that, and on the management of current records systems. However, both types of archivist tend to work within the framework of a fairly narrow service with many aims in common. Consequently, it was not felt that much provision should be made for elective courses in basic professional training.

However, three possibilities were mentioned which would provide elective courses if required, for instance, to allow advanced specialist training for senior

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archivists: (a) the use of primary source material in education: this is a subject which nowadays demands a knowledge of other media and a close acquaintance with educational theory and practice; (b) the management of conservation, which involves, at the highest level, some scientific knowledge as well as the skills involved in management of a technical unit with its staff; (c) the management of a publications unit, which has both a technological and a professional side, and implications also in the evaluation of user demand.

Nearly all these subjects really demand some practical experience, and in some cases the practicals would be rather difficult to plan and supervise. Closely supervised practicals are particularly necessary when the course is for para-professionals. In the case of the professionals, it is visualized that basic training should include an individual project, involving either the reasoned treatment (including description) of a series of archives, or the study of a records management problem in a given context. Written up as a dissertation, the result of this study could be evaluated, and something like a generally recognized standard, comparable with the products of other degree courses, could be arrived at.

The guidelines suggest that these course elements should be combined in sets of modules and so made suitable to the various levels at which students are accepted. Both professional (post-graduate) students and para-professionals should receive a training which covers the whole range of subjects (as far as they are relevant to the situation of the country), but treated in a different way in the two levels. The para-professionals should have a very practical course with many concrete illustrations and demonstrations. Professionals should approach the subject in an investigative spirit and should do as much as possible in self-directed inquiry. It is important to ensure that as far as possible the orientation of the course should be towards producing well-motivated professionals who will be able to use both managerial and technical skills to solve problems encountered in work and to produce solutions which will be operational and achieve visible success in running socially useful services.

Notes

1. Especially relevant is W. L. Saunders, *Guidelines for curriculum development in information studies*, Paris, Unesco, 1978 (PGI-78/WS/27).
2. Summarized in M. Cook, 'Professional training of archivists: problems of modernization and harmonization', *UJISLAA*, No. 2, 1980, pp. 150-8.
3. J. H. d'Olier and B. Delmas, *Planning national infrastructures for documentation libraries and archives*, Paris, Unesco, 1975.
4. P. Havard-Williams and E. G. Franz, *Planning information manpower* (Intergovernmental Conference on the Planning of National Documentation, Library and Archives Infrastructures, Paris, 23-27 September 1974), p. 45.
5. This aspect is being developed by the Society of American Archivists in extension of their *Guidelines for graduate archival education programs* (Society of American Archivists, *Education directory*), in 'Proposed program standard for archival education—the practicum', *SAA newsletter*, July 1979, pp. 19-21.
6. The work of Professor M. Bax and Mr Neil Bax at the Regional Training Centre for Archivists, University of Ghana, is a striking exception to these remarks.
7. Unesco, General Information Programme, Meeting of Experts on the Harmonization of Archival Training Programmes, Paris, 26-30 November 1979, *Final report* (PGI/ET/HARM/7, 14 January 1980).

ARCHIVES AND RECORDS MANAGEMENT

Modern concepts of archives administration and records management

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Examines and contrasts the Anglo-American classical and modern concepts of archives administration and indicates the basic changes that are transforming the archival profession.

Nearly a decade ago, Sir Hilary Jenkinson, in his last completed literary work, deplored 'that form of heresy' that maintained the 'modern' archivist needs 'to redefine archives in a manner more suited to his requirements', and that went so far as to propose that 'the definition may be modified in each country to fit its particular needs'. The occasion was Sir Hilary's presidential address to the British Society of Archivists, an address in which this leading exponent of what may be called the classical school of archives administration left no uncertainty regarding his admitted 'impenitent conservatism'. To prevent the 'evils' he predicted would result from such a liberal policy, he urged archivists everywhere to attach themselves 'firmly to a few primary and unchanging essentials—Root Origins and Root Principles—and let them decide finally what the Archivist may and may not do'. These root origins and principles he emphatically reaffirmed as 'Natural Accumulation (as opposed to artificial collection), Administrative Basis, Preservation primarily for Office Reference, . . . Custody; and . . . the Applicability of this Definition to Documents of all kinds and dates'. As for the exact phraseology of the definition of archives, 'alter it if and as you will, provided those five elements remain'.¹

Sir Hilary then addressed himself to the problems posed by the 'nature of Modern Archives'—their 'enormous and at present inevitable Mass', the 'Duplication or Multiplication resulting from the facilities offered to lazy or indifferent people by modern machinery; next the dubious quality of most of the Materials used; and finally the ultimate necessity for some measure of Elimination with the implied intrusion of Selection'. Most of these characteristics of modern records he dismissed as creating for the archivist only additional concern regarding space, staff, or repair, as 'questions of practice to be worked out as they arose and varying with circumstances'. On the issue of elimination and selection, however, he remained adamant. Citing the two 'reviews' of departmental records proposed by the Grigg Committee, he emphasized that 'none of the pruning processes is made the task of the Archivist. The business of the Keepers of Archives is still', he approvingly quoted Sir Thomas Hardy, 'to keep them'.²

The only major concession this most influential archivist of his generation would make concerned modern non-governmental archives, those 'documentary remains of the activities that have no roots in the past, products entirely of our

1. Hilary Jenkinson, 'Roots', *Society of Archivists, Journal*, vol. 2, no. 4, p. 131-2, October 1961.

2. *op. cit.*, p. 136-7.

times'. For the archives of such 'newly established scientific or industrial or even commercial concerns or institutions' he proposed 'specialised' repositories and 'Specialising Archivists'. This new kind of archivist, in his opinion, should, before becoming an archivist, receive the education of a scientist rather than that of a humanist, to gain the technical knowledge of the activities documented by the records. The specializing archivist would not need, Sir Hilary admitted, 'palaeography, nor a great deal of history, nor mediaeval Latin or French', but he should 'be affiliated to the archivist's profession as practised elsewhere'; he should acquire 'at least background knowledge, some acquaintance with the nature, requirements and conditions of their work'. Concluding his examination 'into the parallel lives of the specialising and the general archivist', Sir Hilary suggested 'as a matter of immediate and real importance, that the specialising archivist . . . is coming; that we want him to come and want him to co-operate with us; and that it may be a wise thing to formulate now . . . the conditions which will make such co-operation possible and fruitful'.¹

The 'heresy' that prompted Jenkinson to so vigorously reaffirm his classical views of archives administration—to engage in 'airing' his 'hobby-horses' as he referred to them—was the increasingly widespread acceptance of Dr. Theodore R. Schellenberg's *Modern archives: principles and techniques*,² published several years earlier. Schellenberg, whose untimely death several months ago deprived the archival community of another of its leading theoreticians, had written a manual for the modern archivist that not only redefined archives and urged those in other countries to do so according to their particular needs,³ but that claimed for the archivist the ultimate responsibility for the elimination of modern records and thus for the selection of those to be preserved.⁴

But equally as significant as the particular views of this modern school with which Jenkinson took exception was a topic which he chose to ignore, the topic of 'record management' to which Schellenberg devoted the very centre of the three parts into which he had divided his manual.⁵ Taken in context, the thrust of Schellenberg's thesis was that a well-developed programme of records management—to use the more common term—to achieve economy and efficiency in records creation, records maintenance, and records disposition, was an essential precondition to the successful administration of modern archives. The three issues raised by Jenkinson—the definition and scope of the term archives, the education and training of the archivist, and the role of the archivist in the acquisition of his holdings—plus the further issue of the relationship between the archivist and the new records manager, represent the major contrasts between the classical and the modern schools of archives administration. A summary of the development of these issues also provides us with some understanding of the basic changes that are today transforming the archival profession.

Despite their unusual insistence upon doctrinal uniformity—at least for an Englishman and an American—Jenkinson and Schellenberg may be said to have reflected in their writings much of their personal archival experience and therefore that of the governments they served with such distinction. Jenkinson, endowed with a rich mediaeval documentary heritage, expert in the requisite language skills and auxiliary historical sciences, and heir to a legalistic tradition of official neutrality and unbroken custody, made as few concessions as possible to the demands of modern records. Yet his *Manual of archive administration* and other writings, if no longer fully adequate in their details to current needs, will continue

1. *op. cit.*, p. 137-8.

2. T. R. Schellenberg, *Modern archives: principles and techniques*, Chicago, University of Chicago Press, 1956.

3. *op. cit.*, p. 15.

4. *Ibid.*, p. 133.

5. *Ibid.*, p. 33-110. The use of the form 'record' rather than 'records' represented personal preference rather than common usage, either then or now.

to be required reading in the education of archivists everywhere who would fully understand their heritage and the ideals of their profession.¹

Schellenberg, by comparison, served no long apprenticeship with mediaeval legal records and with central registry systems. A product of the American graduate school with advanced degrees in history, he joined the staff of the newly established National Archives in time to contribute to and to benefit from its unique experience. The first major activity of the National Archives was to locate and identify what proved to be some 7 million cubic feet of federal records that had accumulated during the previous century and a half in Washington and throughout the country. The need to develop guide-lines and procedures for the appraisal and disposition not only of this accumulation, but of annual accumulations during the next two decades that frequently exceeded 1 million cubic feet, did much to shape Schellenberg's views of the nature of modern archives, the unavoidable requirement of 'elimination' and 'selection', and the important role which records management should play in facilitating this task. The further need to establish both physical and intellectual control over modern records that were not 'registered' and could not readily be classified according to classical models led directly to the development of practices of collective 'arrangement' and collective 'description', practices for which he gave formal expression to the theoretical foundations.² Schellenberg's views of the nature of modern archives and the proper functions of the archivist were thus, like Jenkinson's, firmly rooted in experience. And if his writings frequently give little heed to the realities and needs of smaller non-governmental repositories, they nevertheless have exercised a well-merited and an international influence.

Schellenberg's manual was published shortly after his return from a year's Fulbright lectureship in Australia, during which he lectured on American archival policies and practices. The accommodation possible between his modern views and the needs of a country with an inherited British tradition of administration and record-keeping, as well as a previous and thorough familiarity with Jenkinson's teachings, is well illustrated in the valuable accounts given us by the former Chief Archives Officer of the Australian Commonwealth National Library, Ian Maclean.

While expressing agreement with Jenkinson that 'records' and 'archives' are 'really the same thing', Maclean, in recording his experience, added: 'However, it has become an official as well as a popular convention in Australia to apply the term "records" to the documents held in offices for reference in the course of current business and the term "archives" to those records which have been deposited in a special archives repository.'³ This is essentially the current view in the United States, since to extend the meaning of archives back to records not yet appraised by the archivist and subject to disposition would be to involve the archivist in the destruction of archives. Maclean further concluded that in the light of seventeen years experience with the archives of the Commonwealth Government, 'the principles, if not all the methods', outlined in Jenkinson's manual 'still . . . seem appropriate for the arrangement and description of the Commonwealth Archives'.⁴

Having acknowledged his indebtedness to Jenkinson—Maclean's detailed

1. Sir Hilary Jenkinson, *A manual of archive administration*, ed. Roger H. Ellis, rev. 2nd ed. London, Lund Humphries, 1965. On Jenkinson's professional career and for a bibliography of his writings, see: J. Conway Davies (ed.), *Studies presented to Sir Hilary Jenkinson*, London and New York, Oxford University Press, 1957.

2. On this development see: Frank B. Evans, 'Modern methods of arrangement of archives in the United States', *American archivist*, vol. 29, p. 241-63, April 1966.

3. Ian Maclean, 'An analysis of Jenkinson's "Manual of archive administration" in the light of Australian experience', in: Albert E. J. Hollander (ed.), *Essays in memory of Sir Hilary Jenkinson*, Chichester, (Sumex), Moore & Tillyer, 1962, p. 129.

4. *Ibid.*, p. 129.

analysis and account here necessarily dismissed so summarily should be read by every archivist—Maclean turned to the matter of elimination and selection. He wrote:

I am less in agreement with the teachings of the *Manual* in this particular section. I feel that the archivist must take a leading role in selection or elimination because, if he does not, it is likely that nobody will. If that role can be confined to obtaining an agreement on disposal 'policy' with a particular government office, so much the better, but where a satisfactory basis for elimination cannot be fully achieved by 'disposal schedule' or other device, then I feel that he must be prepared to step into the breach. Nor do I think that, if he 'eliminates' rather than 'selects', he will really alter the quality of his archives very much by so doing; for, after all, the archives are endowed with that quality by reason of the circumstances of their compilation and growth and not by the method of their selection (as Sir Hilary has himself pointed out . . .).¹

Having thus bridged the hiatus between the classical and the modern schools, Maclean, in an article that had been published earlier in an American archival journal, explained the reasons for and the significance of this transition:

In recent years the archival profession has ceased to be concerned, wholly or even primarily, with the preservation of records of the past for use by the present generation and has become involved with preserving the records of the present for future users. It was inevitable that very great changes in professional attitudes and techniques would follow. Some archivists refused to recognize a crisis or, at any rate, regarded twentieth-century records as a form of lower life to be dealt with by a lesser breed. Others, particularly in America, made valiant attempts to adjust their techniques to meet the problems without in any significant way adjusting their basic attitudes. Both groups, the latter more justifiably, were surprised and resentful when the record manager capitalized on the situation and on the experimental work already done and, with significantly different attitudes of mind, developed large-scale programs, the success of which was measured in material rather than cultural terms. With the Hoover Commission report in 1949 the new era of record management was launched, in other countries as well as in the United States; and many archivists retreated to a defensive position in which they visualized themselves as historians serving historians, making only occasional sorties into the domain of record management with respect to the appraisal of records for archival purposes.²

To meet this new challenge, in Australia a combined archives and records management programme was created, a programme that included an integrated archives and record centre organization and the appointment within each department of a 'specially chosen and trained record management specialist'.³ Maclean's views of the appropriate education and training of the archivist, and of the relationship between the archivist and the records manager, was indicated by his inclusion within the term archivist of 'anyone who, by reason of his general understanding of the theory and practice of recordkeeping and his particular expert knowledge of the systems in use in the periods with which he is concerned, is qualified to make decisions or give advice that will substantially affect the quality and safety of the records of the organization or organizations for which he is directly or indirectly responsible'.⁴ Altogether, an admirable synthesis of the relevant elements of the classical and modern views of archives administration, as modified to meet particular needs.

To the distinguished former Dominion Archivist of Canada, Dr. W. Kaye Lamb, we are indebted for an equally cogent exposition of the essential relationship between archives administration and records management. Fully conversant

1. Ian Maclean, *op. cit.*, p. 150.

2. Ian Maclean, 'Australian experience in record and archives management', *American archivist*, vol. 22, p. 387-8, October 1959.

3. *ibid.*, p. 390.

4. *ibid.*, p. 416-17.

with the experience of his colleagues in the United States, Dr. Lamb, in a series of articles including 'The fine art of destruction',¹ 'Keeping the past up to date',² and 'The changing role of the archivist',³ documented from the experience of the Government of Canada the fact that while 'the sheer bulk of modern records makes destruction inescapable', the 'officials of the departments that created them may be very poor judges of their long-term value'. The deep involvement of the archivist in the disposal problem he judged to be 'both inevitable and desirable',⁴ but while stressing the importance of records management and the responsibilities of the records manager, he insisted that 'the final decision on disposal must rest with the archivist'.⁵ On the education and training appropriate for the modern archivist he has been equally direct in his views:

To my mind there are two essentials. One is the sound training in history to which I have already referred. A knowledge of relevant history gives perspective to one's point of view and one's judgment. Experience in historical research enables one to appreciate how manuscripts and records are used. The archivist must be able to judge the probable value of sources to a scholar or research worker, and this ability can be developed best by personal experience in research.

The second essential is practical experience. There are many aspects of the archivist's work that can only be learned effectively on the job. Sorting records and papers, appraising them, servicing them—these cannot be mastered by theoretical study; they cannot be learned by sampling . . . they can only be performed with knowledge and judgment by an archivist who has had considerable practical experience.⁶

This summary of the changing character of archives administration as expressed by some of its leading practitioners requires also some indication of the seminal role of Professor Ernst Posner. Interpreter and teacher of the history and administration of archives in all times and places to an entire generation of American archivists, humanistic scholar and keen observer of American archival development, he has, through his formal writings, correspondence and lectures performed the equally valuable task of interpreting the American archival experience to his European colleagues.⁷ His synthesis of the classical tradition with modern realities he transformed into a series of academic courses and institutes that have long been the most influential programme for the education and training of archivists in the United States. Product of one of the finest classical schools of archives administration, he nevertheless helped develop and participated in teaching the first formal academic courses in records management. His *American State archives*, apart from its direct contribution in helping to revitalize this frequently neglected area of archival activity in the United States, is equally valuable for his formulation of standards embracing all aspects of modern archival activity, including the critical relationship between modern archives administration and records management. The distillation of his unsurpassed knowledge and understanding of archives, their nature, their administration, and their use, past and present, these standards are applicable to archival institutions, whether public or private, wherever they are located. No summary could serve as a substitute for their careful study by every practising archivist and archives administrator.⁸

1. W. Kaye Lamb, 'The fine art of destruction', in: A. E. J. Hollaender (ed.), op. cit., p. 50-6.

2. id., 'Keeping the past up to date', *Society of Archivists, Journal*, vol. 2, no. 7, p. 285-8, April 1963.

3. id., 'The changing role of the archivist', *American archivist*, vol. 29, p. 3-10, January 1966.

4. id., 'Fine art of destruction', p. 50, 52, 56.

5. id., 'Changing role of the archivist', p. 7.

6. id., 'The modern archivist: formally trained or self-educated?', *American archivist*, vol. 31, p. 176-7, April 1968.

7. See particularly: Ernst Posner, 'Some aspects of archival development since the French Revolution', *American archivist*, vol. 3, p. 159-72, July 1940, which has been reprinted with other of his writings and a list of his publications in Ken Munden (ed.), *Archives and the public interest: selected essays by Ernst Posner*, Washington, D.C., Public Affairs Press, 1967.

8. Ernst Posner, *American State archives*, Chicago and London, University of Chicago Press, 1964. See particularly: 'Standards for State archival agencies', p. 349-67.

From the foregoing should be evident the extent and nature of the basic changes that are occurring in the administration of archives. If there is much that is new, much also has been retained that is old and that has proved its value. The resulting synthesis is necessarily pragmatic in its philosophy and flexible in its application. Theory that no longer conforms to reality has necessarily been modified, and definitions as well as practices have been adjusted accordingly. The modern public archivist, in the increasingly service-oriented state and society, has frequently and necessarily justified and strengthened his programme by collecting private archives, personal papers, and those artificial collections, fragments and strays from natural documentary accumulations that can only be described as historical manuscripts. The modern archivist thus augments and enhances the reference and research value of his archival holdings. To these acquisitions he applies archival techniques, as appropriate, but at the same time he maintains the integrity of his official archives in terms of their provenance and their original order. In discussing the 'changing role of the archivist', Dr. Lamb, acknowledging this development, has written: 'The basic change, of course, is that the archivist has ceased to be primarily a custodian—a caretaker—and has become a gatherer of records and manuscripts. His role has ceased to be largely passive and has become dynamic and active.'¹

Since the modern archivist must appraise records and select those of enduring value, he must have more than a passing interest in records management. He must recognize that everything that records managers do or leave undone will directly or indirectly affect the archives of the future. Indeed, records managers will increasingly determine the quality of our archives, quality in the sense of the completeness or adequacy of the documentation, its integrity (including its freedom from useless material), and its accessibility or serviceability for reference and research purposes. In a very real sense records managers will determine the nature of the archivists' work with modern archives, for upon the success of their efforts will depend the ease or the difficulty with which records can be appraised for disposition and can be selected for preservation; the ease or difficulty with which they can be physically preserved; the ease or difficulty with which they can be arranged and described; and the ease or difficulty with which they can be made accessible and available for use. The interest of the modern archivist in records management is therefore not only legitimate—it is essential.² And as records management becomes increasingly caught up in the total systems approach of modern administrative management and the use of computers as management tools, the modern archivist must remain abreast of these new approaches and this new technology if he is to perform his basic function of service to the institution with which he is associated.

In conclusion, the archivist of today does not really face a choice between competing classical and modern concepts. If archival institutions are to remain relevant to the interests and needs of modern society, they must adapt their policies and practices to those interests and needs. There are many encouraging signs that this is being done, and among the most encouraging is the evidence that in response to the initiative of major national archival institutions the vital matter of education and training of archivists is undergoing revision and modernization.³

1. W. Kaye Lamb, 'Changing role of the archivist', p. 4.

2. Frank B. Evans, 'Archivists and records managers: variations on a theme', *American archivist*, vol. 30, p. 57-8, January 1967.

3. See particularly: Roger H. Ellis, 'The British archivist and his training', *Society of Archivists, Journal*, vol. 3, no. 6, p. 265-71, October 1967; and Vital Chomel, 'Les problèmes du personnel scientifique des Archives de France', *Gazette des archives*, n.s., no. 63, p. 235-60, 1968.

Report by D. Antonio Matilla Tascón

The questionnaire, sent to the principal archivists and archival institutions in the world, was conceived with the aim of ascertaining from the replies received, basic information on the organisation of administrative archives everywhere in order that all may profit from the best solutions attained in each country.

Replies were received from almost all the European nations: Germany (German Democratic Republic), Germany (Federal Republic of Germany), Austria, Bulgaria, Czechoslovakia, Denmark, Spain, Finland, France, Hungary, England, Ireland, Italy, Luxembourg, Norway, Netherlands, Poland, Sweden and Yugoslavia. From the Middle East replies were made by Israel and Turkey. The Americas were represented by Argentina, Barbados, Canada, United States of America, Jamaica, Mexico and Puerto Rico. Answers from the African continent were received from Congo-Kinshasa, Nigeria, Senegal, Tanzania and Zambia. No information was received from any country of Oceania. Asia was represented only by Ceylon. No replies were received from the Soviet Union, nor from Belgium, India, Switzerland or Portugal.

We are grateful to the institutions and colleagues who prepared and submitted the replies to the questionnaire. Our thanks to all for their contributions which made it possible for us to prepare the report that we are now honoured to present for discussion at the VIth International Congress on Archives.

It can be stated that every nation has its own peculiar administrative structure, one vastly different from another. On the other hand, all archival institutions reflect the organisations or institutions from which they spring. Taking these two statements together, the diversity of archival institutions is understandable, and it is believed that one cannot say *a priori* that archival solutions considered excellent in one country will necessarily be good for another.

Seeing the same panorama from a higher level, however, the small details are not visible and only the principal lines stand out. Then we can discern the great similarities existing between administrative structures that at first sight appeared so different. This happens, for example, in the case of the archival structures of countries having a centralised form of government, which in most instances, can be reduced to a single pattern. The same thing can be said of countries having a federal, regional or provincial system of autonomous government.

We find great similarity in the internal organisation of archives inasmuch as known systems and methods are applicable to all; it is enough to select the one most appropriate in each case.

*Translator's note: The Spanish term "archivos", literally translated herein as "archives", has a broader meaning than its English equivalent, denoting organised documentary accumulations at all levels ranging from local office files to file or record rooms to intermediate records centres to archival entities in the strict sense preserving documentation of permanent value for administrative and/or scholarly purposes. The specific meaning of "archives" intended whenever used should be clear from its context.

Let us now examine the information contained in the replies. This will be done in the same order as the questionnaire:

1. CLASSES OF ARCHIVES AND HIGHER AUTHORITIES
2. PERSONNEL
3. INTERNAL ORGANISATION OF ARCHIVES
 - 3.1. Accessioning of documents
 - 3.2. Systems of classification and arrangement
 - 3.3. Disposal and transfers
4. INSTALLATIONS AND SERVICES
 - 4.1. Buildings
 - 4.2. Shelving
 - 4.3. Archival file units (physical)
 - 4.4. Auxiliary services
 - 4.5-7 Safety measures
5. ACCESSIBILITY OF ADMINISTRATIVE ARCHIVES
 - 5.1. Limitations on access
 - 5.2-6 Reference service, loans, reports, certifications, etc.
 - 5.7 Finding aids

1. CLASSES OF ARCHIVES AND HIGHER AUTHORITIES

In the questionnaire we established a hierarchy of administrative archives which corresponds to the structural levels found most frequently in the Central Administration of the State: Ministry, General Directorate, Bureau, Division or Section and Office. It does not matter if these levels are given different names in some countries. For our purpose, it is relevant that records are produced or received at all these levels and are retained for varying lengths of time.

If the retained records are arranged so that they can be readily located and consulted if necessary, we can consider this an archives, regardless of the volume (of course, we can say here that if "one swallow does not make a summer", neither does one document or a few documents form an archives). Sometimes the principle of hierarchy or other factors are responsible for records being transferred from the archives where they originated to a higher level.

The institutions listed below can be considered general archives serving the entire Central Administration: the Public Records Office of England, the Rigsarkivet of Denmark, the National Archives and Records Service of the United States, the Public Archives and Records Centre of Canada, the establishment of the Federal Republic of Germany named "Intermediate Archives", the Central Archives of Senegal, the Department of Archives of Barbados, the Archives of Ceylon (the only one), and several others especially among the new nations. Spain is now beginning construction of a General Archives for Administration that will receive from the Ministries all specified documentation. The remaining countries indicated they transferred this kind of documentation to their national historical archives.

It happens quite frequently that administrative agencies have two kinds of archives: one "current" consisting of documentation relating to transactions in progress, and the other "non-current" in which are stored papers relating to recently completed business.

The archives on lower administrative levels often do not have a separate existence; they are merely a supplementary function of the office, bureau or section to which they belong. For this reason they are almost always in the charge of administrative personnel of low grade, without professional training in archival matters. Moreover, according to the replies received, not all the central archives of the Ministries employ professional archivists, and the General Directorates have an even smaller proportion of trained personnel. In Mexico the personnel working in administrative archives are appointed by the chief of the office concerned.

In regional, provincial, or local administration, whether autonomous or controlled by the centre, the archival structure is parallel to that described above, except that professionally trained archivists are much more scarce. In France, archivists from l'Ecole de Chartes direct the work of the departmental and of some of the major municipal archives, and in Spain, qualified archivists administer the archives of the territorial courts, treasury agencies, provincial councils, and the municipal councils of the major capital cities.

Non-governmental archives of political, cultural, religious, economic and social institutions (political parties, universities, dioceses, labour unions, legislative bodies, mercantile or industrial enterprises, etc.) exist everywhere. But only in a few instances are they served by professional personnel. There are isolated examples in France, the Netherlands, Spain, Canada and the Federal Republic of Germany.

There is in all countries an organism or agency having jurisdiction in archival matters, designated as Service, Administration, General Directorate, General Archives or National Archives. However, its full authority is often limited to historical archives, while with respect to administrative archives, it only has in most instances, the power to give technical advice and the right of inspection in order to prevent the deterioration, loss or destruction of documents that must be retained permanently because of their historical interest. This right of inspection extends at times to the establishment of standards or to direct involvement in the disposal of papers from the archives. It is worthwhile to review what some colleagues have reported on this highly important matter:

Bulgaria

The Archives Directorate prepares standards and lists by class for the appraisal of the value of documents. In agreement with the Ministries and other agencies, organisations and enterprises, specific lists covering different kinds of documents and associated retention periods are approved. The Directorate has the right to inspect installations, and the preservation and disposal of documents.

Czechoslovakia

Each Ministry prepares rules governing disposal, based on a directive issued by the Ministry of the Interior in 1956 on this matter. But proposals for disposal must be approved by the Central State Archives. The directive mentioned above indirectly makes it possible for the Central Archives and Archives Administration to inspect facilities and documentary preservation.

Denmark

Disposal of records is not permitted in the archives of the Administration without authorisation by the Director of the Archives, although permanent permission is available for the disposal of designated classes of records, which allows agencies to carry out general disposal programmes.

United States of America

The National Archives and Records Service (NARS) is the only authority in this connection, although its jurisdiction is confined to records of the Federal Government.

Finland

The National Archives has the right to inspect the administrative archives of the State, prepares instructions for the selection and proper preservation of documents, and authorises disposal.

France

The authority of the Directorate of Archives of France extends over all public archives: national, departmental, communal and charitable. Excluded are those of the Ministries of Foreign Affairs and of Military Affairs. It sets up standards for the selection of documents for retention and authorises disposal.

Italy

Disposal applications are submitted for appraisal by the Archives Administration whose authority extends to the examination of documentation recommended for disposal and of the organisation and operation of current and non-current archives. The inspection of the archives of the State organisms and agencies is carried out by "Commissions of Inspection", while oversight of the archives of public and private institutions is the responsibility of the Archival Superintendency.

Netherlands

The State Archives Service has the power to inspect its administrative archives. In each of the eleven provinces, a provincial inspector has jurisdiction over the municipal and canal archives. The Service has the power to advise about, and to grant permission for, the disposal of documents. If municipal archives under the care of an archivist are involved, his opinion is also sought. In general, the law grants all professional archivists (of l'Ecole), the right to inspect all archives of the Administration.

Argentine Republic

The Archivo General de la Nación, which is an historical archives, has the right "to inspect administrative archives with a view to their proper preservation and, where appropriate, to the transfer of records over 30 years of age".

German Democratic Republic

The General Directorate of Archives of the State Administration has the right of inspection over administrative archives with respect to their transfer, preservation, appraisal, prescription (disposal?), investigation and utilisation. It authorises disposal lists, prepared in accordance with the "Appraisal principles for the preservation or disposal of documents of the socialist period" (Potsdam, 1965, 63 p.).

Yugoslavia

The Archives Council has authority in matters pertaining to inspection and disposal of all classes of (archival) material.

2. PERSONNEL

The greater or lesser importance, volume of work, and services rendered by an administrative archives influence the quality and quantity of its staff. An archives at the bureau or section level is quite different in this respect from that of a central archives of a Ministry or a General Directorate.

At the time this point was being considered in preparing the questionnaire, we thought that perhaps Spain was one of the few countries where most administrative archives, except for those on the central and ministerial levels, were in the hands of persons without higher education and archival training, who learned their tasks on the job and had no knowledge of archival science.

But we can confirm now, with sadness, that this evil is endemic, existing everywhere in varying degrees, except in half a dozen countries.

The harm caused by this situation is of two kinds: (1) Defective classification and arrangement of papers, producing chaos in the archives, especially the non-current ones, and making them useless for the Administration; (2) complete contempt for any value a document may have other than that which brought it into being. Corollary: on the basis of excuses such as space shortages or inability to locate anything, there is massive and continual destruction of the documentation of entities and institutions that were part of the national life without leaving behind evidence of their origin or performance, their objectives, the conduct of personnel, nor any trace of other values needed to understand the historical process of the people.

How can we remedy these evils? Two solutions, adopted with evident success in some countries, can be mentioned: (1) That all administrative archives, depending on their level and importance of function, should be in the charge of professional archivists, or archival technicians, or archives assistants holding certificates for attending elementary courses in archival science. If this were done, professional ethics together with inspection and advisory authority in the hands of the principal archival agencies would guarantee the perfect functioning of the system; especially if professional archivists could be heard in councils and commissions concerned with the rationalisation of administrative work and with organisation and methods. (2) That, at least, the administrative archives of the two highest levels (Ministries and General Directorates or their equivalents) should be in the charge of professional archivists, leaving those of the remaining levels in the hands of administrative personnel of the bureaux, sections and other offices, but always under the supervision of professional archivists. Nicaragua's reply to this question which appears somewhat simplistic, states that the Spanish term *archivero* is obsolete, professional practice and development having replaced it by *archivista*, which denotes more of an administrative function with respect to documentation.

3. INTERNAL ORGANISATION OF ARCHIVES

3.1. Accessioning of documents

Question 3.1.1 in our questionnaire referred to procedures employed by offices in transferring documents to their own archives, whether current or non-current. It did not concern the transfer of records from an administrative to an historical archives. A good number of the replies, however, relate only to the rules governing the latter.

On the contrary, nations like Poland, Bulgaria, German Democratic Republic, Federal Republic of Germany, Israel, Senegal, Argentina and Puerto

Rico give direct and positive replies concerning their rules governing the transfer of documents to the current archives.

Examples:

Puerto Rico replies that article 4 of Law 5, of 1955, requires that:

Agency heads prepare inventories of the records once a year. They are classified as: (1) Documents relating to State rights and obligations, and funds for public programmes; (2) Documents of a fiscal nature or relating to accounts and fiscal operations; (3) Documents that constitute proof of title to public or private property; (4) Documents considered necessary to verify important past events, or useful for planning future operations and preparing plans and programmes; (5) Documents that can be destroyed or transferred to another archives.

Poland has established standards regarding the permanence of papers in offices, the transfer of papers from offices of origin to current archives, procedures for handling files in current archives, transfers from current archives to the State archives, and disposal of files that should be destroyed. Replies from Bulgaria and the German Democratic Republic are in a similar vein.

The manner in which records are transferred from the offices of origin to the current archives and from these to non-current archives - whether they are arranged and inventoried, or in disorder and without any indication of what they are - will determine, to a great extent, the usefulness of the archives and the proper maintenance of its holdings.

There is almost general agreement on how and when offices should transfer documents to their non-current archives, to other administrative archives of a higher level, or to the proper historical archives. With some exceptions, papers are transferred immediately after completion of the transaction to which they relate, or one, two, or three years later. In the latter cases, the date of the last document in the transaction is used in computing the retention periods.

Such transfers are frequently made during the course of the year, although in some countries, such as Poland, they are made at a fixed date at the beginning of the year, and in others, such as Hungary, at the end of the year.

-It is also normal for offices to formalise these transfers by the preparation of covering class lists or brief descriptions. For the receiving archives such guides are insufficient, and they have to prepare inventories that describe the documentation in greater detail. Some colleagues believe that this is best, because, they say, "the offices will have difficulty in preparing inventories that meet archival standards".

We believe, however, that it would save archivists much work if offices transferred their records together with an inventory that is well prepared in accordance with archival standards supplied by the archivists.

3.2. Systems of classification and arrangement

No country, not even the most highly organised, has set up a records classification system that is applicable to all administrative archives. Each Ministry or other entity is generally free to adopt the system it prefers for its archives.

Frequently, however, the principle of provenance is adhered to; that is the divisions and subdivisions of the holdings correspond to the different sections or subsections of the entity that created the records. If the principle of respect for origins were observed rigorously, the result would be a *pure organic system*; but if the arrangement of sub-divisions or groups is altered or dropped at the tertiary and subsequent levels, it becomes a semi-organic system (Luxembourg). Such alterations (at the lower levels) are not infrequent in archives, because of presumed advantages in servicing (Czechoslovakia).

Some prefer a subject classification system, which may be purely numerical, alphabetical, chronological or a decimal system, developed "sui generis" in every case (Norway, Israel, Canada).

Finland formally classifies archival materials into a definite number of main series: newspapers, lists, minutes, letters, memoranda, etc.; or a combined series is formed containing correspondence, accounts, maps, charts and other documents. Within each series documents are classified by origin and by subject.

Poland follows this same procedure, but perhaps more methodically. It classifies by subject on a decimal foundation. The first four numbers, 0, 1, 2 and 3, are assigned to typical documentation: decrees, personnel, material objects, finances and accounting. Number 4 to 9 apply to classes needed by each institution; then, in addition, an individual classification system must be developed for each institution.

The system most frequently used in Holland, known as the *Systematisch dossierstelsel*, should be considered. The different archival documents, arranged chronologically, are classified not by their subject matter, but in accordance with the transactions concerned. The whole of the case files thus set up are arranged according to a system of headings or titles based on a decimal distribution of the subjects, going from the general to the specific. The basis of arrangement is sometimes the system of provenance, but the "dossierstelsel" system continues to be used within the fonds corresponding to each originating entity.

Certainly one cannot speak of setting up classification systems merely by giving each documentary item a corresponding number and thus forming an artificial file. Rather it is necessary to distinguish between different groups on the basis of subject matter, time, place or person. The former simplistic procedure converts these archives into piles of useless papers when the file numbers are lost or forgotten.

Concerning the systems used in arranging case files or documents within physical file units (folders, bundles, boxes, registers, etc.), most of the replies agree that the arrangement should be, in every instance, the one which is most suitable. The arrangement given by the office of origin is generally respected. It frequently happens that such arrangement is "numerus currens", its sole purpose being to facilitate the location of documents within a given series or group by means of reference aids (memoranda, indexes, registers).

Such heterogeneous criteria lead to the conclusion that it would be difficult indeed to achieve standards of general applicability, since individual offices arrange each documentary series in accordance with their own needs. However, countries such as Holland, Federal Republic of Germany, Norway, Czechoslovakia, Poland, Yugoslavia, Bulgaria, German Democratic Republic, Canada and others have issued instructions, standards or codes concerning the classification of their archives and the arrangement of documentary units.

A considerable number of countries have regulations covering the disposal of records of the Administration. But the authority, scope of its jurisdiction, criterion of selection, administrative level, and time, differ so greatly from one nation to another, and even within those having a federal system of government, that an attempt at reconciling such great diversity would turn out to be difficult and useless.

Holland has established lists of the documents that offices must destroy after designated periods. Materials not included in such lists can be disposed of only after special permission has been obtained from the State Archives Service on the ground that they have use neither for the Administration nor for historical research.

Italy has created by law, "Commissions of Inspection", which, among other functions, serve as "Commissions of Disposal" and operate in all entities and offices of the Administration. It should be pointed out that the membership of such Commissions always includes an archivist of the State.

In England reviews of agency holdings are made periodically and, in accordance with disposal lists prepared in conformity with Section 3 of the Public Archives Act of 1958, it is determined what is to be disposed of, and what must be transferred to the Central Archives.

In the Administration of France, an archivist prepares an inventory of what he considers disposable; he then submits it to the head of the office or other entity that created the records; the latter agrees to the destruction of the listed documents; and, finally, the Director of the Archives of France authorises their destruction. No agency in the French Administration can destroy records without authorisation. The departmental archives have lists that stipulate the retention period for each record type.

The problem of disposal of records in Spain continues without a solution, and this despite the favourable exception of the Archives of the Ministry of Finance and the fact that the central archives of every ministry is in the charge of personnel from the professional archival corps. The truth is that, barring a few exceptions, documentation in offices and in the current archives depositories in most of the Administration is destroyed without reference to reasonable rules or standards and, very frequently, at the whim of the officials having custody of the papers. We trust that the longed-for Archives Law will soon become a reality and at once eliminate all of those evils.

The professional archivist has sole responsibility for the evaluation and the decision to preserve or destroy the case files of the Administration in the Federal Republic of Germany. Each department has fixed retention periods (for the records) in its area of activity. Financial records of the Treasury and official case files submitted periodically under the law of Commerce are regarded as national in character.

In Denmark, according to the Royal Decree of July 22, 1902, disposal of archives of central and regional offices can be carried out only with the approval of the Director of the Archives; retention periods of 5, 10 or 30 years have been established, depending on the nature of the series; although some lack a retention period, this is established when convenient by the competent authorities with the approval of the Director of the Archives.

The Riksarkivar of Norway has the right to inspect all archives of the Administration, and the duty to coordinate and supervise plans and operations concerning the selection and disposal of documents. The general regulations of 1951 require that departments undertake a first review of their archives

before these are over 5 years old. The responsibility for selection and disposal at this stage remains in the department itself. When the archives are 25 years old, a second review is made and whatever is retained after this review is transferred to the National or Provincial Archives, excluding that still needed by the Administration.

The general regulations for the Archives of Switzerland contain standards for the disposal of documents "having little or no importance".

Finland has established retention periods for some series. But in general no record before 1919 can be destroyed. Concerning this matter, the National Archives and the ministry concerned make a joint decision. Their judgements are based upon the answers to the following questions, among others:

- (1) Does the office still need the records?
- (2) Are they needed for control of office activities?
- (3) Will their destruction be detrimental to the public?
- (4) Should the records be preserved for research purposes?

Poland also has established retention plans based on administrative control requirements and on the needs of institutions and individuals. Whatever the procedure, the decision must be made by the State Archives acting on a proposal or request made by the directorate of the institution or entity having custody of the records.

In Czechoslovakia the Ministry of Foreign Commerce and that of the Army have published rules on the elimination of records. The Ministry of the Interior imposes on its Services the obligation of issuing rules on disposal. The responsibility for disposal rests with the institution carrying it out. The archivist intervenes only in the selection of documents having historical value.

In Yugoslavia, archivists intervene in a somewhat similar manner. While the Council on Archives establishes the general standards for disposal, and one of these is that the appropriate archival institution has the right to participate in the selection and elimination of records of any institution, it is not obligatory that the archivist prevent the destruction of permanently valuable records. This is the concern of the institution that created the papers.

Bulgaria has disposal lists prepared by agency heads in agreement with the Directorate of Archives. The records involved are reported to the concerned agency's disposal committee. The committee, advised by a professional archivist, decides which records must be sent to the State archives, and which are entirely lacking in value. After the lists are prepared, they are presented to Control Commissions of the Directorate of Archives for approval or rejection.

The German Democratic Republic follows procedures similar to those of Bulgaria.

Israel regulates the destruction of archival materials in the following manner: annual proposals for elimination of records made by the agencies must be submitted to the State Archivist for approval after having been examined by a Committee presided over by the Director General of the Archives and including representatives of the Ministries of Finance and Justice, the State Comptroller, and personnel of the interested ministry.

In Canada only the Dominion Archivist has authority to approve disposal. There are instructions which indicate the number of years that each series must be retained. Selection is considered a normal function of the professional archivist.

In Argentina the various Ministries and State Secretariats publish regulations containing guidelines for disposal. At times the standards seem arbitrary and cause losses of documents having historical value. Nevertheless, better professional care is given to those materials scheduled to be transferred to the Archivo General de la Nación: all of the documentation over 30 years old, with some exceptions.

In Puerto Rico, Law 5 of 1955 establishes a programme for the preservation and disposition of public records. Article 4, paragraph 6, requires that agency heads prepare an inventory of all records less than 50 years old and classify them as follows: (1) Records relating to State legislation, appropriation of funds for internal public programmes, and official contracts, which are retained without time limitations, although materials that are obviously completely useless can be disposed by special authorisation of law.

(2) Financial records or those otherwise needed for review and verification of accounts. The period of retention is set in accordance with the rules prepared for this purpose by the Secretary of Finance. (3) Records that constitute proof of title to public or private property, or that have other legal attributes that make their preservation necessary. As appropriate, a period of validity will be established which can be indefinite. (4) Records that because of their continued administrative usefulness in the agencies, or because of the information they contain, are necessary as evidence of important past events or can be used in connection with other projects, operations and programmes. The period of retention is to be set by the office head with the approval of the chief of the agency concerned. (5) The remaining records, in accordance with the same appraisal procedure as No. 4, will either be destroyed or transferred to the Archivo General del Estado. For all of these purposes, agency heads will prepare annual lists of each group above.

It is not clear from the majority of replies what happens to records whose administrative values have lapsed, but which still have historical interest. Some state that such materials remain in the original archives, a few say that they are transferred to an administrative archives at a higher level, and several indicate that selected documentation is transferred periodically, every 1, 5, 10 or more years to historical archives, either general or provincial.

4. INSTALLATIONS AND SERVICES

4.1. Buildings

In almost all countries the current archives of the Administration are located in the premises of the division of the agency or office they serve. Some non-current archival depositories are in special locations, in or outside their agency's building. Only the general archives of the Administration, when they exist (for example, the Federal Republic of Germany, Norway, Argentina, Canada, and the new nations such as Congo-Kinshasa and Zambia), are usually located in separate buildings.

4.2. Shelving

The use of metal shelving has become generalised to the point where only a few archives, judging from the replies, continue to use wooden shelves. One notes a preference for covered shelving, filing cabinets, drawers and rotary files, for use during the more active period in the life of the records; open

metallic shelving for the non-current period; the "compactus" system is preferred for archives that are infrequently consulted and where there are space shortages, although lately its use has increased considerably.

4.3. Archival file units

As for the different kinds of physical file units, the most frequent are: cardboard covers, cardboard boxes (sometimes metal or reinforced with metal), folders and binding in fascicles and volumes.

In Holland and other countries, records during their most active period are filed in folders which are kept in bookcase type cabinets or in filing cabinets with drawers. Records during their semi-current period are generally kept in folders in cardboard boxes. Loose documents are usually kept in special containers.

4.4. Auxiliary services

The great majority of the archives of the Administration, current and non-current, are entirely lacking in laboratories and in reproduction, restoration and binding facilities. Neither are there facilities for disinfecting records nor air conditioning systems. Some archives, however, enjoy the benefits of good temperature because they are located in the vicinity of air-conditioned offices, and not a few make use of the centralised services for reproduction and binding which belong to their respective agencies.

4.5-7 Safety measures

The provincial, regional and general archives of the Administration that have their own building usually have all the auxiliary services as well as systems for detecting smoke and (high) temperature and equipment for extinguishing fires.

On the other hand, small archival depositories have, at best, carbon dioxide or dry powder extinguishers. Some archives still adhere to the old method of buckets filled with sand, while one Director appeared satisfied because the archives is located in the same building as the Fire Department. Apart from this last case, only two replies refer to the use of water hose.

Among the countries having security vaults or specially constructed stack areas for better protection of records are Holland, England, Federal Republic of Germany, Sweden, Czechoslovakia, Bulgaria and Spain. Jamaica reports that "the building is fire-proof, flood-proof and protected against hurricanes, earthquakes and unauthorised entry". Let us not, however, deceive ourselves. The proportion of such security installations is limited to 3 or 4 per cent of the total archives storage capacity.

With respect to provisions for saving the records in case of catastrophic disasters, especially wars, Holland prefers to destroy confidential papers and has ordered the complete and systematic microfilming of its most important fonds. England places a special symbol on the boxes, folders or volumes that contain records having the highest priority for protection. France, Luxembourg and Denmark would save first the most valuable documents, as well as the rare and confidential ones. Finland has the following scale of priorities: (1) Complete documentation of the last two years; (2) Documentation scheduled for permanent preservation; (3) Documents that are not to be preserved permanently. Czechoslovakia also classifies records into 3 categories, according to their importance. In other countries, each archives either has its own plan, or no provisions have been made.

5. ACCESSIBILITY OF ADMINISTRATIVE ARCHIVES

5.1. Limitations on access

The Extraordinary International Congress on Archives held in Washington studied the subject of access to historical archives. In order to determine the extent to which administrative archives are accessible to the researcher and to the public in general, we included an appropriate question in our questionnaire. Here are the results:

With the exception of Bulgaria, Hungary and Norway, which answered negatively, all other countries give a "yes" reply to accessibility, but with very strong limitations or requirements that, generally, make such consultation possible only on an exceptional and privileged basis. Firstly, authorisation must be obtained from the ministries or high officials of the entities of the Administration to which the archives belong; secondly, certain documents considered confidential are never made available to researchers; thirdly, the minimum age of the document determines its accessibility, for example: Austria and Italy, 50 years; Canada, England and Tanzania, 30 years; Finland, 30 years, or 40 or 50 depending on the fonds; Zambia, 20 years; Senegal and France have 1920 as a cut-off date; Turkey's is 1918; Ireland, 1916; and the Federal Republic of Germany, May 8, 1945. In Spain no date limit has been established; but as soon as administrative documentation is transferred to the historical archives, it is entirely open for consultation to nationals and foreigners alike. The United States of America has detailed regulated access to documentation in the National Archives and in the agencies of the Executive Branch of the Federal Government under the Freedom of Information Act (Public Law 89-487; 80 Stat. 250).

It is not possible, for reasons of space, to include in this report all the details given in the replies concerning requirements for and limitations on, access. In general, one concludes that each country imposes those conditions and restrictions it considers useful. Although a certain tendency towards greater liberality is discernible in some, the day is still distant when the archives of the Administration are made accessible to the researcher without so many restrictive obstacles.

5.2-6 Reference services, loans, reports, certifications

Since the principal mission of administrative archives is to give their services to their respective agencies, let us see how this is done.

-An official needing records already filed, if he prefers and only wishes to verify a fact, can go to the appropriate archives and make the search there. But if a broader study is involved, the office borrows the original document. It may or may not be returned; anything can happen. Sometimes it is returned to the archives as a new accession or may even be incorporated into a different case file.

In most countries documents are loaned only to the agency of origin or to duly authorised officials. When an official needs information, copies or extracts of documents, he usually gets them himself, in his office or in the archives. Very seldom is the archivist involved.

Experience has shown that this classical method of using administrative archives results in the loss of many documents. To avoid this, several countries (Yugoslavia, Turkey, Israel, Congo-Kinshasa) utilise modern reproduction methods, and instead of lending the original document, they furnish photographic, photostatic, Xerox or other copies. This ensures the integrity of the archival holdings, although it naturally involves considerable expense.

5.7 Finding aids

The belief is unanimous regarding the inadequacy of the transfer lists or inventories prepared by agencies insofar as subsequent efficient service by the administrative archives is concerned. Other finding aids, varying in amount and kind, are prepared: registers, analytical inventories, indexes, guides, subject-matter catalogues, etc. These finding aids continued to be prepared "by hand" in almost all countries. Only in Northern Ireland are dictaphones used for this purpose; Norway mentions the use of special typewriters that facilitate the preparation of lists and indexes; Senegal makes use of multiple-copy processing and printing; Argentina, Puerto Rico, Jamaica and Nigeria report that they use mechanical means: in general, typewriters and duplicators. Recourse to mechanisation is, as can be seen, still rather deficient, especially if compared with that of the archives of some important private enterprises.

CONCLUSIONS SUBMITTED WITH QUESTIONNAIRE REPLIES*

Germany (German Democratic Republic)

Qualified personnel for the preparation and registration of documents; to continue to preserve administrative documents. Development of a system of appraisal based on improved management and oriented in accordance with uniform principles of arrangement that would lead to a better selection of the valuable archival material. Increasing the informative value of the holdings of the administrative archives. Stimulation of the activities of the Archives Service of the German Democratic Republic through methodical instructions, particularly in the field of accessions, appraisal, arrangement and description.

Elimination of discrimination by the Travel Board against the archives of the German Democratic Republic with respect to participation in meetings of the International Council on Archives. Publication of the results of international congresses and conferences concerned with problems of administrative archives. Organisation of an interchange of experience with respect to the theory and practice of work in administrative archives. There is special interest in research and studies on the place of administrative archives in the information system of State entities, institutions and enterprises.

Germany (Federal Republic of Germany)

Regarding the scope of the Federal Archives, the tendency is toward the eventual realisation of the idea of a Central Archives for the entire federal administration.

Expansion of, and support for, freedom of decision by professional archivists in the evaluation of documents in order to select material worthy of being transmitted (to posterity), seems to be the most important requirement here.

In order to more nearly standardise archival methodology internationally, and to encourage more cooperation in archival matters throughout the world, the appropriate means would appear to be the exchange of methods or findings across all frontiers, and the exchange of trained archivists with many years of professional experience.

Argentina

(a) To elaborate model regulations on the organisation and operation of a national general administrative archives, and to submit them to all Ministries; also to submit them with needed modifications, to provincial governments. Similarly, to develop model regulations for municipal archives. All of this has a double purpose: (a) to bring together the best information available and to synthesize it in the regulations, and (b) to attempt to unify the rules, at times divergent, presently in use in administrative archives.

*The questionnaire included a last section on "Conclusions". In order to respect the integrity of the interesting ideas, suggestions, and solutions submitted by most countries (some very extensively), it seemed desirable to provide to the Congress participants the full text of such "Conclusions" by means of this Appendix to the report.

(b) Once established, the National Commission on Archives, provided for in Article 10 of Law No. 15,930 of 1961, should extend its authority to the administrative archives by means of advice and supervision.

(c) To study in depth, preferably by a special committee of the National Commission on Archives, the matter of documentary selection, and to prepare a preservation and disposal plan.

(d) To set up training courses for the supervisory and technical personnel of administrative archives, and to require their professional and technical training.

(e) Develop a statute relating to historical and administrative archivists that would embody official recognition for the archival profession.

With respect to underdeveloped countries: to concentrate their archival studies within an information and advisory centre; to make visits to repositories in order to learn their actual condition, and to propose measures for their functional organisation.

Austria

Standardisation of methods and procedures in the many archives of the most diverse origin is not necessary, since it would not save one from having to make later investigations in concrete cases.

Bulgaria

In collaboration with interested agencies and scientific institutions, studies should be undertaken looking toward the development of rules and systems of arrangement having worldwide validity. There should also be developed standard rules covering the work of the secretariats and archives of the different administrations, organisations and enterprises.

It is desirable that the International Council on Archives study and generalise the experience acquired by its member countries with reference to the work of administrative archives, examined from all vantage points, and more especially:

chancellery systems

rights and responsibilities for control by hierarchally superior entities over the work of secretariats and archives of subordinate agencies.

Canada

There should be a centralised archives for *inactive* administrative documents, and centralised control with respect to the creation and disposal of records.

Ceylon

The enactment of an Archives Law as soon as possible; the creation, within the administrative organisation of the country, of personnel specialised in the filing of documents, and of related personnel in the Archives; extension of this idea into private business and other organisations of a private character, encouraging them to follow a systematic programme for (records) creation and transfer, based on well-considered procedures. Popularisation of the Archives through press campaigns and exhibits, and encouraging more research work.

Legislation and better information.

Regular conferences in different parts of the world; a well-planned publications programme in which archivists from all over the world could participate.

Congo-Kinshasa

The suggestion that could improve our archives would be to conduct a campaign of persuasion to convince other agencies of the State that it is not a question of (our) trying to obtain control of the activities of their agencies, but rather to investigate the background of the agencies which are basic to our history.

That is, to thus eliminate any ideas that tend to attribute to us intentions that are not ours. This would facilitate the task of conducting our surveys, quantitatively and qualitatively. Thus, not a single desk would escape our study.

In Congo-Kinshasa, regulations pertaining to administrative organisation require that all official agencies file with the legal depository every official document they produce. These regulations apply also to private authors, including musicians. In this manner, our library is enriched considerably.

This problem is no less important: It is desirable that UNESCO take the initiative of giving travel grants to archivists from all countries to permit them to spend long periods working regularly in the archives of other countries. In my opinion, by this system, the participant would familiarise himself with the methods in use elsewhere and would benefit thereby. Likewise, in this manner, the desired cooperation amongst the archivists and the archives of the world would be achieved.

Czechoslovakia

To come to an agreement on the minimum time for depositing records in administrative archives, especially those of a personal or judicial character.

United States

Most important would be the major expansion of archival training opportunities in this country in order to cope with the long-existing shortage of skilled professional personnel. Ideally, training institutes might be established in each of the principal regions of this large country, preferably in university settings attached to graduate schools of history and the social sciences, and operating in close association with archival institutions of quality in their vicinity. Such a system of training would produce a more adequate supply of archivists who are at once grounded in scholarship, specialised in one or more subject-matter areas, and technically competent in their profession.

Two American contributions to archival methodology which would be of particular value abroad are the techniques of "records management" and "retention planning". Its records management work involves the archives service in the development - and subsequent promotion in the administrative agencies - of a complex of standards, procedures, and methods designed to bring about efficient management of agency records creation, organisation, utilisation, maintenance, and retirement. "Retention plans" are, in effect,

comprehensive standards for the selective retention of records of permanent value prepared by the archives service for each administrative agency on the basis of a careful study of its organisation, functions, and records. The plans each recommend the selection of specific categories of records for ultimate transfer to the archives.

While there is neither desire nor need to achieve national methodological or procedural standardisation, it is most important to maximise professional know-how and breadth of professional vision on a nationwide scale. This could best be accomplished by a training programme of the type outlined above, and by the expansion of professional contacts through increased opportunities for publication and for exchange of views and experience with colleagues at national and regional conferences and symposia. Just as the Society of American Archivists would be the most appropriate medium for such expansion of contact nationally, so full advantage should be taken of the machinery and facilities of the International Council on Archives in the achievement of closer international collaboration. The directions in which it is desirable that international cooperation should grow are well known: indeed they have been often stated and discussed, and in large part agreed upon in past congresses and conferences. To carry out these objectives, however, ICA requires substantially increased financial support. It is, therefore, to the solution of this very difficult problem on a long-term basis that the international archival community must devote its most serious attention.

Finland

Education of archivists; a manual of archives administration.

France

A closer liaison between the Ministries and the Directorate of the Archives of France would be desirable. A draft regulation to this end is now under study. It envisions that: (1) each agency must appoint an official responsible for its current archives; (2) current archives would be retired in agreement with the Directorate of the Archives of France; (3) retirement of records to depositories of the Directorate of the Archives of France will take place regularly; (4) "intermediate" depositories will be established in all major agencies, under control of the Directorate of the Archives of France.

It will also be necessary to establish uniform rules concerning the management of administrative archives. The S.C.O.M. (Central Service for Organisation and Methods) is now developing such regulations.

Hungary

The new law on archives should be published to protect the documents.

The General Directorate of Archives should be authorised to regulate the establishment of administrative archives and their functions.

General standards with respect to archival methods should be established.

Documents should not remain more than 5-15 years in the administrative archives (which exist in the ministries, counties, offices, factories and associations). It is necessary that the documents revert later, when the documents can be consulted by researchers, to the true archives.

England

A new building; additional personnel.

Standard rules on accessibility, and a central archival system.

Availability of more economic resources and better training.

More cooperation between archivists, and between the PRO and local archivists.

Since the records and the history of different countries vary so much, I do not believe that too much standardisation is desirable.

That an obligatory date be established for the "deposit" of records by all Official Institutions. A period of twenty years, for example.

More personnel; more money; more campaign work among private archives and more national control over private archives.

All archivists of a country should be a part of a National System, receive the same training, and be controlled by and rotated among, the Archives of the National Government. There should be an interchange of personnel between the different State Archives for periods of 1-3 years.

Any improvement in England will depend on the simplification of the complex legal framework in which we are operating at this time, and also on the employment of professionally trained personnel for the work in all branches of archives.

This can be achieved only by means of unified standards concerning the true purpose of archives. In England much importance is still given to their purely historical value.

Israel

One of our major problems with respect to the archival management programme is the improvement of the quality of records. Their quality, their utility for searching, and their informational value depend, to a large extent, on the experience and skill, professional and educational, of the personnel who work in the various record and file units, as well as on the cooperation of the executive sector in the ministries and other public entities. In our opinion, this is one of the essential problems which is accorded least importance in the present modern archival systems. Good administrative operation now, as well as the future condition of the files in the historical archives, depends to a large extent on the solution to this problem.

Italy

Considering that the present organisation of archives, current and non-current, in administrative offices, is governed by rules that date back to 1900, the necessity for revising these rules, in order to standardise archival services in all the administrative organs of the State, is obvious. This revision should take into account not only the administrative and legal importance of the documentation produced daily, but also the cultural function that it should perform in the future.

The problems before us are diverse in character, but basically they all dealt with the same question: classification, which seems fundamental to us because it is basic to the organic and orderly formation of archives, as well as to the good operation of archival services. A good classification scheme, formulated so as to reflect the jurisdiction and authority of the office, capable of satisfying the needs of future historical research, one that documents the activities undertaken to achieve the objectives intended by law (activities later reflected in an organically-developed archival series) - this is the principal necessity in the field of modern archives (current and non-current).

The problem, then, is one of specifying the criteria for, and developing a system of, classification which will place all modern administrative archives on the same organisation level and which will result in the creation and development of these archives in a way that will later permit the State Archives to satisfy quickly the needs of historical research. And in that sense, extending this problem into the international field, it does not seem out of place to propose the creation of a committee within the International Council on Archives to study the problem.

Jamaica

Archives centres, and extension of a programme for the management of archives.

Many things can be suggested. There is, however, one that I believe is urgently needed and whose realisation would present no real difficulty. This is the introduction of a searchers' card or booklet recognised internationally in order to simplify access by accredited researchers to the archives of all countries.

Mexico

A law that will require such an organisation is under study, the idea being that the Archive General de la Nación should direct the operations of the administrative archives from which come the important documents that later will be in the custody and on the premises of the Archives.

Nigeria

A new ordinance granting broader and more effective authority; more training for personnel; better buildings and equipment; the creation of a division of records management; the establishment of other institutions and private archives.

An active and knowledgable Advisory Committee on Archives, made up of government officials and outstanding community leaders, to assist in persuading the Government to give its archives the attention they need.

That, on fraternal grounds, colleagues from developed nations offer our archivists the opportunity of studying their techniques and methods.

That more frequent meetings of the International Council on Archives be held, including regional meetings.

That a survey tour be made to study archival institutions in underdeveloped countries and that a report recommending necessary action be submitted to the Governments of the concerned countries.

Greater financial assistance to developing countries to support new archival buildings and modern installations and equipment.

Norway

Improved education and training for administrative archivists, including the possibility of salary increases.

Increased personnel for the National Archives and especially for the Provincial Archives in order to augment (a) inspection of the Archives of the Administration; (b) instruction in archival routines; and (c) selection and elimination of documents having no enduring value.

Sufficient shelving capacity in the National and Provincial Archives to permit agencies to transfer their archives at the proper time.

A common classification system for the entire State administration with parts of the classification scheme (the classes reserved for Organisation and Administration, Economy, Personnel) obligatory for all institutions, while the rest of the scheme (classes 3-9 in our decimal system) could be adapted to the needs of each branch of the administration.

Regulations on selection and disposal of documents linked with the classification schemes, which would make possible the continuous and responsible disposal of administrative archives, and thus reduce the risk of destroying documents that should be retained.

The right of the Riksarkivar to inspect the archives of the State administration and of the municipalities. Support his right to issue instructions relating to the classification and disposition of records. This, however, on the assumption that there is sufficient personnel to execute them.

More information, by means of publications, on archival and other systems in various countries.

Netherlands

More regular disposal in each of the three stages that archival documents go through.

More prompt and regular filing and retirement.

That the government support the construction of new public archival depositories and the expansion of existing public depositories, so that their capacity may be sufficient when transfers become more numerous.

That officials responsible for current archives in an agency, prepare summary inventories of their various holdings.

That the material conditions of semi-active archives be improved; that pre-archival depositories be better protected against humidity and fire.

That the material conditions of semi-active and non-current archives be placed under regular control by means of an increase in inspectional personnel.

That new agency officials be informed about the existence and wealth of their archives, so that in handling business they would make appropriate use of the archives. It would be desirable, perhaps, that they be assigned for a time to the official responsible for preservation.

That the training of personnel for work in current archives be combined with that of the professional personnel of public archives depositories so that these two groups of employees may better understand the nature of each other's work, and that the personnel of current archives may engage in the preparation, in some way, of inventories of professional quality.

The special training given to those who will be responsible for the custody of current archives (but in a way that remains to be studied) should be combined with the training given by the school for archivists.

Standardisation is not a panacea. Archival fonds will always continue to be created in various and diverse forms and there will always be varied classification systems: above all let us not forget to deepen our knowledge of these matters.

Increase in exchanges of viewpoints and information, orally and in writing. Archivists participating in these exchanges, especially if they feel they must use a foreign language, should do whatever is possible to be able to express their thoughts in it, and should become familiar with the technical terms provided in Elsevier's *Lexicon of Archive Terminology*.

Poland

Current archives should be organised according to the following rule: they must be a separate unit within the institution, independent from other services and sections, and directly under the jurisdiction of the head of the institution.

Professional training for the personnel working in current archives.

Require all current archives always to maintain their records in the same folders and to label and register them in accordance with the same system.

All current archives, without regard to their specific location in the institution of which they are a part or the authority to which they are subordinate, must be supervised by the State Archives. Their records must be organised according to the same classification rules.

Senegal

«In a young country such as Senegal - although it can be rightly proud of having continuous archival holdings dating back to 1816-1820, which is quite an accomplishment for this Continent - the problems of organisation are too numerous to allow the time needed to consider them.

Nations with an ancient written civilisation have an older and more solid archival experience; this is inevitable. Therefore it is desirable that in this area, their assistance and their cooperation should be given as liberally as it has in other fields.

The young nations, the countries with a relatively recent written civilisation, are the ones that, above all, are in need of archival facilities and an adequate and well trained staff; because in these countries the intellectual elite are relatively rare, and even more, they are in great demand for employment in other fields that may seem more elevated. There is a School for Librarians, Archivists and Documentalists in Dakar; the teaching of archival science is scheduled to begin in 1969. (From this) much can be expected to safeguard and develop the archives of all of the French-speaking western part of the continent; but assistance will also be needed.

From these general statements it may be thought that perhaps an archivist who works in an African country has no great contribution to make. I would only like to point out that in these countries, the Administration is everything insofar as archives are concerned, at once the principal producer and the only custodian. Such an administration is less influenced by tradition than are those in older nations. This may be the reason why the experience of these countries in the development of the Archives-Administration relationship might be useful to countries where Archives have a broader base and more numerous sources, but where as in everything, the Administration has enlarged its field of action.

Sweden

The Swedish archives are organised into two entities; one, an institution to provide services for research; and the other, an authority to control and direct the archives of the various administrative agencies throughout the country. We believe both roles have the same objective: to promote knowledge and scholarship. What today are routine records for the administrative authorities, tomorrow may be a valuable source of historical information about our times. We believe that these are and should be the basic ideals of archival work. If these ideals are observed and the archives achieve sufficient influence and authority to support and defend them, this will be the best way to improve the archives in this and other countries.

Turkey

In order to improve the archives, new laws, the training of qualified personnel, buildings and installations, and modern equipment are indispensable. We are making great efforts to achieve this. These efforts have achieved satisfactory results.

A central administration for archives, to establish a balance between government people and men of science in administrative business; massive publicity; initiate contact and cooperate with the Archives of other countries.

Establish a central administration for archives in all countries; make use of an international archival terminology; abolish differences between countries in archival doctrine; interchange archivists between countries for short periods; ensure the participation of all countries in international archival congresses and conferences; publication of the review "Archivum" at least every three months with expanded content.

Yugoslavia

The realisation of moral and material principles with respect to archives and archives personnel fundamentally depends on the use of our own efforts to bring about the allocation of the required material resources.

The autonomy of the archives within the State administration itself, and similarly the independence of archivists within bureaucratic entities, giving them the necessary support to ensure that (archival) institutions may have a truly independent cultural and professional character.

True support for constructive action by the International Council on Archives to achieve the liberalisation of access to archival material thus strengthening the bonds making for greater and improved cooperation between the countries of the world in the area of reference service.

Zambia

Trained personnel and more space in archival facilities, are the primary needs.

RECORDS MANAGEMENT AS AN ARCHIVAL FUNCTION

Report by Mr. Artel RUCKS¹

One historian views records management as an archival function aimed at trimming down the bulk of records holdings to that nucleus which will best serve the needs of researchers. More precisely he defines it as:

"... the process of selectively reducing to manageable proportions the bulk of records indigenous to modern civilization in such a way as permanently to preserve those of future cultural value without impairing the substantive integrity of the mass for purposes of research."²

At the opposite end of the spectrum are those who see records management as the application of scientific management to paperwork for purposes of efficiency and economy with any benefits to future researchers simply a fortunate by-product.

Somewhere between these extremes is the viewpoint endorsed by the National Archives and Records Service (NARS) of the United States Government and which may be found defined in legislation now pending before Congress.³ Under this concept, records management extends to the full life-cycle of records from their creation to ultimate destruction or consignment to archives for permanent retention. It is directed at insuring adequate documentation, preventing the unessential, simplifying systems of paperwork creation and use, improving the way records are organized and retrieved, providing for proper care and inexpensive storage of records in records centers, and insuring the proper disposition of records no longer needed in conducting current business. This is the concept addressed in this report.

1. Unique aspects of the United States experience.

At the outset we want to identify a few of the factors that have nudged, pulled, and molded records management in the United States and which may differ from factors influencing records management in other countries.

First. The sheer volume of records created by the United States Government every year, currently over 7 000 000 cubic feet, or enough to fill a file drawer over 1 300 miles long. Possibly an even larger quantity may be created by states, counties, and cities, which are government entities administered independent of the Federal Government.

Second. The advanced state of technological and economic development of the United States. One obvious manifestation of this influence is evident in the extent to which automation is being employed here to perform office tasks.

Third. The propensity Americans seem to have for new ideas and change, probably less bound by traditional ways than many people. Admittedly, this may lead to either rapid and meaningful progress or to wasteful experimentation with gadgets and unproven concepts simply because they are new.

1. Abridged version of the preliminary report distributed to members before the Congress.

2. O. Lawrence Burnette, *Beneath the Footnote*, (Stevens Point, Wisconsin: Worzalla Publishing Co., 1969), p. 26.

3. U. S. Congress House, *Federal Records Management Amendments of 1976*, H. R. 13828, 94th Congress, 2nd Session, 1976.

Fourth. The lateness of the United States in establishing a national archives, almost 150 years after the first national archives came into being in France. This regrettable slowness to appreciate its rich archival treasures was not without at least one advantage in that the United States Government was able to learn from the archival experience of others and then add its own special contributions. Records management is perhaps the most significant of these contributions.

2. Evolutionary development of a concept.

Our present records management concept evolved over the entire life span of our nation although it was given a name only a quarter of a century ago. What it has become can probably be best understood if we first see how it evolved.

Records management in the United States traces its antecedents to the earliest years of our Republic. Many of the laws enacted by the First Congress expressed concern for the adequate documentation of Government activities and transactions and for the preservation of such records.

Over the years, as ever increasing volumes of records were created there slowly developed a recognition of the need for disposal of records no longer serving a useful purpose, but acceptance of this idea was slow in coming. A commission appointed in 1877 by the President soundly rejected the disposal idea with the statement that "every paper worthy at any time to be recorded and placed in the public files may be of value at some future time, either in an historical, biographical or pecuniary way to the citizens of the nation." However, the pressure of the mounting accumulation of records ultimately proved unbearable and in the 1880's Congress began to authorize destruction of some useless records.

Concern for adequate documentation, preservation, and selective disposal led to another aspect of managing government records - efficiency in their creation and use. In 1887 a committee was established by the Senate to "enquire into and examine the methods of business and work in the Executive Departments of Government, the time and attention devoted to the operations thereof, and generally to enquire into and report to the Senate the causes of delays in transacting the public business of the said Departments."⁴ This proved to be the first of a succession of committees and commissions looking into the efficiency of Government paperwork.

A pivotal point in the evolutionary development of records management in the Federal Government occurred in 1934 with the appointment of the first Archivist of the United States. Thereafter the National Archives provided the institutional vehicle needed to pull together the segments of what was at first known as records administration and to develop a comprehensive and viable program.

When the National Archives was first established, there were those who believed that all that was needed was to establish an archival institution where documents of enduring value could be placed. This passive concept was soon relinquished as the records flooded in from numerous agencies. The usability of some of the records was seriously hampered because of inadequate files arrangement and maintenance practices by agencies. Consequently, archival personnel found it necessary to visit Federal agencies and provide instructions so that the records to be accessioned into the Archives would be in useful order and condition, unencumbered by temporary and useless papers. As stated by a senior member of the National Archives at that time, archivists "entered the records administration field because economical administration of records at all stages is closely akin to the specialized activities of the archivist, and because the result of good or bad records administration affect the job that archivists can later do with the records."⁵

4. "Selected Readings on Records Management," ed. Seymour Joseph Pomrenze (unpublished, copyright 1966). p. 5.

5. Philip Brooks, "Archivists and Their Colleagues: Common Denominators. The American Archivist", XIV (January, 1951), p. 34-35.

While a comprehensive and far reaching concept of records management had not yet been developed by the National Archives, though it was beginning to show signs of life elsewhere, recognition was at least given to the need for management attention to records from their creation to final disposition. This *life-cycle concept* was not yet fully crystalized but it had already modified somewhat the archival profession.

At about this same time a few agencies of government were beginning to use the term "records management" to describe a new approach to the problem with emphasis on efficiency. They saw a need for *continuing program attention* in contrast to the traditional symptomatic or "patchwork" method of dealing with specific records problems. They visualized it as a never ending job of education, promotion, and *management control*. The latter involves regulation, review, and approval. The Department of the Navy developed the most comprehensive of these early records management programs with provision for controls over the creation of records; guidance in developing efficient forms, reports and correspondence; standardization of filing equipment and supplies; and development of efficient mail and filing systems.

In addition, the Navy program embodied another concept that has since come to be a significant cornerstone of records management — that of *specialization*. As paperwork becomes more complex it calls for individuals with specialized knowledge, such as might be needed to design forms or to develop good reporting systems, since one person cannot hope to master and provide the depth of knowledge required to adequately assist officials in all phases of managing paperwork. However, a specialist need not necessarily be limited to one speciality. Under this concept, large paperwork studies are usually carried out by teams of specialists.

Since those early formative years of records management, the number of identifiable specializations has increased as the nature of paperwork has changed, expanded and become more complex. Today we have specialists in records centers, files, reports, forms, directives, microfilm, source data automation, machine readable records, general paperwork procedures, and several other areas, all flying the banner of records management.

Records management was formalized and institutionalized in the Federal Government with passage of the Federal Records Act of 1950. Responsibility for Government-wide supervision and implementation of this law was assigned to the National Archives which, significantly, was renamed the National Archives and Records Service.

We conclude that records management in the United States came into being in a slow and evolutionary way, but is today solidly based on four cornerstones: (a) the life-cycle concept, (b) continuing program attention, (c) management control, and (d) specialization by practitioners.

3. Revolutionary impact.

While the coming forth of records management was the product of a long evolutionary process, when it finally emerged it produced a revolutionary impact on the archival function. Probably the most readily demonstrable effect of the advent of records management is seen in the organizational structure of the National Archives and Records Service itself. That institution has changed drastically since 1950 when the Archivist of the United States was first charged with overseeing the records management program of the Federal Government and for "developing, promoting, and coordinating standards, procedures and techniques" which promote the efficient and economical handling of government records.⁶ To carry out this function, two major offices were created, each headed by an Assistant Archivist. They are the Office of Records Management and the Office of Federal Records Centers. Both offices have close interaction with the Office of the National Archives and with records officers within the various agencies of government.

6. Records Management by Administrator of General Services, 82 Stat. 1295, 44 U.S.C., Sec. 2909-2910 (1968).

The *Office of Records Management* concentrates on the creation of recorded information and on its current maintenance and use. With a staff of approximately 140 people it assists agencies in fulfilling their records management responsibilities, issues regulations, publishes guidance handbooks, provides training, evaluates agency adherence to regulations, offers consultation services, conducts studies which the agencies cannot do for themselves, and performs a variety of related activities.

Of particular interest to the archival profession is the attention records management has focused on improving agency filing practices, including systems of records arrangement and retrieval. Microfilming of records is another area in which much guidance has been given by records management specialists, affecting both current operations and archival needs. Other influences on the archival profession may be less obvious but nevertheless important. For example, records managers are expected to be on the lookout for records of archival value or for any systems and procedures which might impact on archival interests. It was quite natural that records managers should be the first to sound the alarm when it was discovered that great quantities of data being recorded on magnetic tape, including demographic, sociological, and scientific information, would be useless to future researchers because of poor documentation of programs and operations governing use of the tapes.

The *Office of Federal Records Centers* was for many years within the Office of Records Management and its activities are still considered to be a part of the records management function. This office is the largest of those in NARS with approximately 1300 employees or about 60 percent of all personnel on the Archives payroll.

It operates fifteen records centers located across the United States for the economical storage and servicing of 12 million cubic feet of records belonging to virtually all federal agencies. Even though these records are too inactive to justify retention in office space, they still require about 13 million references to them every year. The economical type of building space and shelving used permits a savings of more than \$100 million a year over what it would have cost to have retained the records in office space and filing cabinets. Each year the center system receives more than one million cubic feet of new records and systematically destroys a nearly equal quantity made up of those which have aged and no longer have any administrative, legal, or other value. Professional archivists, working within the centers, carefully search for the small two or three percent of records of enduring value. All members of the center system are also expected to be alert for such archival records.

This office also evaluates agency records retention and disposition programs, oversees the Government's vital records protection program, reviews the operation of a few agency records centers, performs reimbursable microfilming services for agencies at considerable savings to the Government, and assists agencies in records disposition and scheduling.

The *Office of the National Archives* completes the life-cycle with its primary concern for records of enduring value. It controls about 1,200,000 cubic feet of records on paper documents, microfilm, audio tapes, motion picture films, photographs, data processing tapes, and cartographic records. It has final authority in determining what records are of permanent value.

While NARS has government-wide responsibility for guiding and assisting federal agencies in records management matters, the responsibility for an active continuing program for the economical, and efficient management of the records of an agency rests with each agency. Every agency is required to designate a records officer and bears responsibility for following NARS guidance and for conforming with applicable laws, regulations, and policies. The degree of responsiveness of agencies has differed greatly and it must be admitted that all agencies fall short, in varying degrees, of the comprehensive program encouraged by the National Archives and Records Service.

Some of the blessings records management has bestowed on the archival function may be readily recognized in the foregoing statement of functions of the National Archives and Records Service. Others may not be so apparent:

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(a) Records management has given the archivist greater assurance that the policies and activities of government are adequately documented, that related records will more frequently be found filed together, that files will be arranged in a more logical and orderly manner, that fewer useless and transitory records will be mixed with the permanently valuable, and that there will be less likelihood of destruction of records of enduring value.

(b) Records management has brought a greater awareness throughout the government of the significance of records, in whatever media, and of the need for their proper care and preservation.

(c) The Archives has unquestionably received considerable prestige and increased budget support as it has become recognized as an institution that saves considerably more money than it spends due to its records management activities.

(d) The records management function of records centers has provided a convenient regional facility within which to locate regional archives and respond to the research needs of the public. Bringing archival services to the people has helped enhance national appreciation and support for the archives.

4. Status of Records Management within State Governments.

The United States is a federation in which a group of states combined and surrendered their general sovereignty to a central government while retaining certain residuary powers. As a result, the manner in which state agencies and programs are administered is generally not within the purview of the Federal Government. Applied to records management, this means that the Federal Government cannot dictate or control the archival or records management programs of the states. There is, of course, an exchange of ideas that has manifestly affected both state and federal programs.

Elements of Records Management	Organizational Location					
	Archives		Other		Total	
	No.	Percent %	No.	Percent %	No.	Percent %
Records Center Management	14	43	15	45	29	88
Records Control Scheduling	15	45	14	43	29	88
Files Management	7	21	11	33	18	54
Vital Records Management	11	33	9	27	20	61
Machine Readable Records Management ..	3	9	12	36	15	45
Information Retrieval Systems Management	5	15	11	33	16	48
Documentation Management	6	18	7	21	13	39
Correspondence Management	5	15	6	18	11	33
Mail Management	1	3	13	39	14	42
Forms Management	4	12	12	36	16	48
Reports Management	2	6	8	24	10	30
Directives Management	1	3	9	27	10	30
Microform Management	10	30	14	43	24	73
General Paperwork Procedures Management	3	9	12	36	15	45
Source Data Automation Management	0	0	12	36	12	36
Word Processing Management	1	3	8	24	9	27
Office Equipment Management	3	9	10	30	13	39
Evaluation Surveys	6	18	10	30	16	48

Figure 1. Program elements being carried out by the archives or other central office of the 33 states responding to the questionnaire. (Percentage figures were derived by dividing the number of programs shown for each element by 33, for all states reporting, and rounding off the number.)

In preparing for this paper, the author and his research assistant attempted to survey the status of records management programs within the 50 state governments. A questionnaire sent to the states elicited 33 responses. Each state was asked to indicate for each of 18 records management "elements" whether or not the state had an active, centralized program involving such management aspects as reviews, controls, and the issuance of standards, procedures and guidance materials. They were also asked whether any records program centrally administered is carried out by the archivist's office or by some other state office. Statistical results are given in Figure 1.

The data obtained reveal such interesting facts as that 29 of the 33 respondent states house some of their inactive records in records centers but only 14 of the centers are administered by the state archivist. Likewise, 29 states were also found to be carrying out records control scheduling programs of which 15 are under the archivist direction. Surprisingly, only 18 of the 33 states reported a files management program with a mere 7 of these viewing it as an archival responsibility. Forms management, directives management and most of the other "efficiency" elements fared worse. We conclude that as compared with the Federal Government, the application of records management by most state governments is typically more limited.

5. Status of Records Management worldwide.

Archival authorities in 105 countries were sent virtually the same questionnaire provided to the state governments of the United States. A tabulation of responses from all questionnaires is found in Figure 2:

Elements of Records Management	Organizational Location					
	Archives		Other		Total	
	No.	Percent %	No.	Percent %	No.	Percent %
Records Center Management	21	54	3	8	24	62
Records Control Scheduling	24	61	5	13	29	74
Files Management	14	36	15	38	29	74
Vital Records Management	13	33	8	21	21	54
Machine Readable Records Management	9	23	10	26	19	49
Information Retrieval Systems Management	7	18	10	26	17	44
Documentation Management	9	23	9	23	18	46
Correspondence Management	5	13	19	49	24	62
Mail Management	5	13	18	46	23	59
Forms Management	5	13	19	49	24	62
Reports Management	3	8	15	38	18	46
Directives Management	2	5	15	38	17	43
Microform Management	13	33	10	26	23	59
General Paperwork Procedures Management	3	8	14	36	17	44
Source Data Automation Management	2	5	14	36	16	41
Word Processing Management	2	5	10	26	12	31
Office Equipment Management	3	8	18	46	21	54
Evaluation Surveys	6	15	9	23	15	38

Figure 2. Program elements being carried out by the archives or other central office of the 39 countries responding to the questionnaire. (Percentage figures were derived by dividing the number of programs shown for each element by 39, for all countries reporting, and rounding off the number).

From the questionnaire and the supporting reference materials submitted by the nations, several observations and conclusions may be drawn as to the status of public records management in the responding countries. A cautious generalization of these findings may yield some insight into the worldwide status of records management and its direction. Those conclusions and observations felt by the author to be of greatest value are:

(a) An average of 52 percent of the elements are being carried out as active centralized programs in the national governments of the respondents, but not necessarily by the archivist's office.

(b) Some 15 percent of the nations reported little or no centralized records management program activity. About 50 percent of the nations reported that at least two-thirds of the 18 elements were being carried out by their national governments, but not necessarily by the archivist's office.

(c) The records management elements are distributed between the archivist's office and "other offices," about 37 percent to 63 percent, with the other offices identified by such diverse titles as: Ministries of Economics, Justice, Finance and Communications, and Departments of Public Works, Treasury, Organization, and Operations. Elements which statistically cluster overwhelmingly in these other offices included: correspondence, mail, forms, reports, directives, general paperwork procedures, source data automation, and equipment management.

(d) Some 21 of the 24 countries reporting records center programs and 24 of the 29 carrying out records control scheduling programs are administering these elements under the aegis of the archivist's office. From this and the preceding observation we conclude that those elements most nearly supportive of the archival function are typically found in the archives office while those more directly related to office efficiency are most commonly found in other offices.

(e) As omissions are often as meaningful as indications of activity, we should note those elements most frequently not carried out by the respondents: machine readable records, information retrieval systems, source data automation, word processing, general paperwork procedures, directives, and reports management. The first four of these are readily understandable as they represent elements closely related to office automation, a technological area that is not yet feasible for general application by the national governments of some of the respondents.

(f) Because the general economic status of a country may have some implications on the nature of its records management needs, the data available was also analyzed by "developed" and "developing" nations. The limitations on the length of this article will not permit presentation here of an analysis of the facts derived. We note, however, that the statistical profile for developed nations does not differ greatly from that of developing nations or the states of the United States.

6. Summary.

By way of summation, some useful generalizations pertaining to the development and status of records management as it relates to the archival function are:

(a) Records management is a function evolving from such universal needs as adequate documentation, prevention of the unnecessary, systematic disposal, efficient processing, economical storage, and identification and preservation of those documents of enduring value.

(b) Records management has been adopted worldwide and appears to be well advanced in many state governments of the United States and in many nations, including developing nations.

(c) The broad gauged program of the Federal Government of the United States with its emphasis on (i) the life-cycle concept, (ii) continuing program attention, (iii) management control, and (iv) specialization by practitioners is not fully duplicated by any other government although there are indications that this may be the direction that many are headed.

Too many variables are involved to believe that there will necessarily be a rapid transition in that direction or even that such a broad program offers a satisfactory answer for some countries.

(d) Those elements of records management most directly affecting the archival function, such as records centers and records scheduling, are most likely to be carried out by the archives office while those with the least impact are generally administered elsewhere, if at all.

(e) Records management has been of great value to the archival function in the United States.

(f) The strong congruence of records management statistical profiles between state, developed, and developing nations, suggests that most governments are responding to similar records management needs and may share similar constraints in money, manpower, and expertise.

(g) Trends toward (i) expansion of the scope of records management programs, (ii) centralization, (iii) increased professionalism, and (iv) mechanization seem intuitively apparent within the United States. However, in the international sphere such an observation must await the support of further study over a period of years to be more than just conjectural.

(f) The fear of some archivists and historians in the early years of records management in the United States that this association between archives and records management might lead to the pre-eminence of efficiency over scholarship and the adulteration of the archives function has proven unwarranted. No doubt any such tendency has been discouraged by the fact that the records management function is administered by the Archivist. Certainly records management is an idea whose time has come, evolving from positive needs and if the archival environment were hostile, it would doubtless thrive elsewhere. Archivists are cautioned, however, by Dr. Wayne C. Grover, former Archivist of the United States, that "records management disassociated from its archival environment, could be positively menacing."⁷

On a more positive note, Dr. James B. Rhoads, the present Archivist of the United States, says: "... I am confident that the liaison between the archivist and the records manager will continue, because it is a natural relationship built on interdependency and mutual benefit. While developing our expertise in the various branches of records work, we must not forget that each of us is part of a larger profession, whose goal is rational order, simplification and economies in maintaining the record of our civilization."⁸

7. Julian P. Boyd, Chairman, and H. G. Jones, Secretary, "Minutes of the First Meeting of the AHA-OAH-SAA Joint Committee on the Status of the National Archives," (unpublished report, April 15, 1967), p. 2.

8. Dr. James B. Rhoads, "Records Management and the Archivist," *Records Management Journal*, XIII, No. 1 (Spring, 1975), p. 8.

Other Sources

Much of the information for this article was derived from a wide range of primary sources as recorded in the author's thesis - "Records Management in the Federal Government: An Analysis of the Adequacy of Law and Executive Policy" (unpublished, School of Government and Business Administration, George Washington University, May 1974).

A second source used liberally was the December 1974 issue of *Information and Records Management*, Vol. 8, No. 11. The authors of articles from which information was extracted were the Archivist of the United States, Dr. James B. Rhoads, and members of his staff: Walter W. Stender, Harold J. Koenig, and Benjamin F. Oliver.

Acknowledgement

John Powell of the National Archives and Records Service, Records Management Division staff, San Francisco, did much of the current research needed with respect to the status of records management in state governments within the United States and in the governments of other nations. He also participated in drafting many of the ideas expressed in this paper. His assistance is gratefully acknowledged.

APPRAISAL AND DISPOSAL

DISPOSAL POLICY

REFLECTIONS ON THE PRACTICE OF THE ARCHIVES OF THE SEINE

by Pierre Boisard,
Conservateur in the Archives of the Seine
and of the City of Paris

In his writings on archives in the volume of collected works published under the editorship of M. Charles Samaran, *History and its Methods*, M. Robert-Henri Bautier said that the archivist 'has in a way become a specialist in disposal : he is the man who knows how to destroy' ¹. Who will venture to ask where and when he acquired this knowledge ? It is perhaps from those people of quality of whom Molière spoke, who know everything without having learned anything. The *Ecole des chartes* has successfully endowed the archivist-palaeographer with an enquiring mind, which is of value in this field as in others, but can he make himself into a 'destroyer of archives' ?

If we look through the notes taken by pupils during six consecutive years of the course in the *Ecole des chartes*, we shall see that it is the positive aspects of the profession of archivist which have formed the subject matter of the instruction they have received. They learned, amongst other things, to arrange and describe archives ; but there was no lesson on disposal ; by choice, and for the requirements of the thesis which is his immediate concern, the young student at the *Ecole des chartes* concerns himself more with the older archives and the listing of the precious archives that have been preserved than with the problems of modern records. After he leaves the *Ecole des chartes*, should not the stage introduce him to the practical aspects of the archivist's craft ? The duplicated copy of the *Calendrier des conférences du stage national d'archives* reveals that only a single session is devoted to appraisal and elimination. Yet, writes M. Bautier, the problem of disposal is the key to modern archives administration. Of course, practice makes perfect ; and the regulations which give a list of the documents which can be destroyed provide the French archivist with a valuable tool for this purpose.

It is well known that this list is out of date in spite of the revisions made from time to time to meet particular situations,

¹ *Encyclopédie de la Pléiade*, Paris, 1961, p.1138.

by means of circulars from the *Direction des Archives de France* ; and, as the new edition of the *Règlement général des archives départementales*¹ remarks : 'no list can ever be complete and definitive'.

Besides, it is just as necessary to define the frame of mind in which we approach one of the basic duties of our profession as to have a disposal list which will always have to be updated. This article, which is intended to give some thought to the practice of disposal of modern records, is based on several years experience in the Archives of the Seine, and will pose more questions for discussion than it will offer solutions ; and we must begin, or rather resume, a debate on the subject, as the disposal of modern records is a matter of great concern to archivists of our time, and is a subject on which several articles have made useful contributions.

I. BIBLIOGRAPHICAL APPROACH

The problem does not exist only in France ; and reference should be made to the international bibliography on the subject which appeared in *Archivum*, vol.II, 1952, pp.117, 118 ; vol.III, 1953, p.121 ; vol.IV, 1954, pp.232, 233 ; vol.VI, 1956, pp.228-231, nos. 613 to 659 ; vol.VIII, 1958, pp.168, 169, nos. 411 to 428 ; and the bibliographical fascicule no.1, pp.45-49, nos. 418 to 549.

Readers too busy to read articles in foreign languages can profitably re-read the pages on this subject in the regulations for *Archives départementales* and for archives of *communes* and hospitals, where they will be reminded of some sensible principles which can usefully be kept in mind when dealing with the disposal of records. Some other reading is essential to a French-speaking archivist : L. Genicot, *Le problème des archives modernes*, in *Archives, Bibliothèques et Musées de Belgique*, 1947, vol.XVIII, no.2, pp.65 to 74 ; Renée Doehaerd, *A propos des archives contemporaines*, *ibidem*, pp.75 to 79 ; Léonce Celier, *La responsabilité de l'archiviste dans l'élimination des papiers inutiles* (conference at the *Société de l'Ecole des Chartes* on 22 December 1949, published in the *Gazette des Archives*, no.7, January 1950, pp.9 to 14, and no.9, January 1951, pp.16 to 21 ; this conference will be referred to by the second edition) ; *Actes du premier congrès international des archives* (Paris, 23-26 August 1950) : report by M. Pierre Caillet on *Le contrôle des archives en formation*, followed by a discussion in *Archivum*, vol.I, 1951, pp.55 to 73 ; Robert-Henri Bautier, *Triages et élimination des documents d'archives*, in *A.B.C.D. Archives, Bibliothèques, Collections, Documen-*

¹ Paris, S.E.V.P.E.N., 1964.

tation, no.9, May-June 1953, pp.247 to 251 ; *Actes du IIIe Congrès international des archives* (Florence, 25 to 29 September 1956) ; report by J.H. Collingridge on *The Selection of Archives for Permanent Preservation*, followed by a discussion reported in French, in *Archivum*, vol.VI, 1956, pp.25 to 42 ; Jacques Levron, *Le triage des archives*, a report to the IIIrd International Congress on Archives, published in the *Gazette des Archives*, no.20, July 1956, pp.15 to 23 ; Charles Braibant and Robert-Henri Bautier, *Une Table Ronde utile à l'histoire. Deuxième conférence, Namur, 1955 : les Archives en formation*, Paris, 1958, pp.28 to 52 ; Ingvar Andersson, *Le problème du triage dans les archives de l'Administration suédoise*, in *Mélanges Charles Braibant*, Bruxelles, 1959, pp.1 to 7. Some interesting ideas can also be found in the writings of M. Yves Pérotin¹ on the problems of modern archives : *L'Administration et les 'trois âges' des archives* (Extract from the review *Seine et Paris* no.20, October 1961) ; *Le 'Records Management' et l'administration anglaise des Archives*, in *Gazette des Archives*, no.44, 1st quarter 1964, pp.5 to 17 ; and *Le grenier de l'histoire et les récoltes excédentaires*, *ibidem*, no.50, 3rd quarter 1965, pp.131 to 143. Finally two of my colleagues and friends, MM. Jean Favier and Robert Favreau, have dedicated two books to the Archives ; the first is a popular work (Paris, 1959, collection *Que sais-je ?*), the other a small volume (Paris, 1965), in both of which will be found paragraphs which offer valuable thoughts on the subject which concerns us here.

Although this bibliography is almost entirely confined to articles in the French language, it would be unfair and improper not to mention the works of M.T.R. Schellenberg, *The Appraisal of modern public records* (Bulletin of the National Archives, no.8, October 1956), and *Modern Archives* (2nd edition, Chicago, 1957). As will be apparent, the disposal practices of the Archives of the Seine have been for several years inspired by these two basic works.

From all these writings can be drawn several conclusions which hardly need further discussion, and on which most of the authors we have mentioned would agree.

1) It is absolutely necessary to destroy a large proportion of all modern records, for, in view of their vast quantities, it

¹ All who know the ideas of M. Pérotin will have no trouble in seeing that they form the basis of this article. I began to learn my trade from M. Pérotin ; and working under him was always most pleasant and most rewarding. I would like to express my gratitude to him, and to M. Gut, the present Director of the Archives of the Seine, for reading this article and for making many useful comments on it.

is impossible to preserve them all and keep them in a way which makes them usable.

2) It is necessary at all costs to prevent arbitrary destruction ; but such arbitrary action is not the monopoly of the government or of administrators, and the archivist can be guilty of 'smelling the files as if they were melons and saying in a learned way, often without knowing why : This one is interesting ; that one is not' ¹. The arbitrary nature of our archival practices could be emphasised even more. This article seeks to appeal to the consciences of our colleagues ; and I am sure that I have no need to insist on being heard.

3) This task of destroying records, which makes it necessary to make a selection (and selection always means the sacrifice of something else), gives archivists a most uncomfortable feeling ².

4) The principles for the disposal of records must be drawn up as quickly as possible ; and, like everything else today, this can only be done in collaboration with others.

5) However, 'it is very difficult to write a guide on appraisal without giving it much thought' ³. The archivist, like all other officials, and indeed like anyone else who is doing his job, cannot escape his responsibilities. On the contrary, he should insist on using this power of life or death over records which has been given to him by law or custom, and should exercise 'this burdensome responsibility...with resolution and pleasure' ⁴, in the full knowledge that he will never make everybody happy, neither administrators or historians alive today, or those in future years.

It does not seem necessary to dwell much longer on principles which are obvious and on which there is unanimous agreement ; it would be better to open the discussion on some points of principle which might be arguable. Contrary to all logic and in spite of what the title of this article might suggest, I will not begin by describing the disposal practices of the Archives of the Seine in order to draw conclusions ; but when discussing principles I will explain these practices step by step by giving examples, and then at the end I will give a broad outline. The practices to which I will refer are the result of experience gradually acquired and are capable of further change.

¹ Y. Pérotin, *Le grenier de l'Histoire*, p.140.

² Renée Doehaerd, *op. cit.*, p.75 ; Léonce Céliér, *op. cit.*, p.18 et *passim*.

³ Antal Szedő, Intervention on the report presented by J.H. Collingridge, *op. cit.*, p.37.

⁴ Léonce Céliér, *op. cit.*, p.18.

II. WHO SHOULD DEAL WITH THE DISPOSAL OF RECORDS ?

Even though archivists dislike exercising this responsibility for disposing of records, in almost all countries they have taken unto themselves this formidable task. That is why we are often shocked to hear that our English colleagues believe that they should 'allow government departments to decide which records to keep : those which they consider to be useful will be kept, and those in which they have no interest will be destroyed' ¹. It is not certain, however, that the intent and practice in England are properly understood. Nobody in England or elsewhere claims that civil servants are qualified to appreciate the historical value of their papers ; it is even thought that they are 'incapable of judging their historical value' ². But it is equally maintained that by using as their only criterion their value for administrative purposes, civil servants would not destroy records which have historical value ³, or in other words that the historical value of records depends on their administrative value. We shall return to this question later, simply making the point now that this first review practised in England should always take place before the files are five years old, and that it is essentially no more than a tidying-up of papers by administrators. As Mr. Ingvar Andersson has remarked ⁴, government departments are reluctant to 'initiate and implement action leading to the destruction of records'. Administrators are often more inclined than archivists to keep records, either because they want the protection they afford, or because they regard them as their own property. Sometimes they are compelled to dispose of some of their records ; and the files which they are then ready to send for destruction or transfer to the Archives are those of their predecessors, who have been posted elsewhere or have retired, or those which have long ceased to be in use. But it is the duty of those who produced the files to remove working papers, rough notes, drafts and multiple copies, all of which are known in France as '*les papiers de corbeille*', and which in principle should have disappeared long ago and now add unduly to the bulk of paper which has to be examined by archivists before disposal, usually fifteen or twenty years after the papers were created, when the civil servants in office at the time of their creation refuse to have any responsibility for them. In their visits to store-rooms, cellars and attics for the purpose of trying to assess the value

¹ Léonce Céliér, *op. cit.*, p.18.

² Yves Pérotin, *Le 'Records Management' et l'administration anglaise des Archives*, p.17.

³ *Ibidem*, p.17.

⁴ Ingvar Andersson, *op. cit.*, p.4.

of untidy heaps of records, French archivists have envied this collaboration with administrators which our English colleagues have managed to get at an early stage in the life of the records, which makes it possible for the files to be submitted to them for a final review 25 years after their creation, with the more ephemeral material removed and in much reduced bulk.

All countries have agreed in principle that no destruction of records should take place without the advice or authorisation of the Archives. For this approval to be meaningful it would be desirable that no file should be destroyed without being examined by a competent person ; and it is tempting to say that this person should be an archivist. But in view of the great quantity of modern papers which has to be destroyed each year, who would dare to press such a demand ? Can the archivist delegate his responsibilities to staff of a competent kind ? And will the Archives become staffed with specialists of different grades who share these responsibilities ? 'It is necessary', says André Lesort ¹, 'for archivists to have assistants trained by them and under their direction who can help with appraisal... I have seen staff with a quite basic training who, under the direction of an archivist, have done excellent work in appraisal.' In support of his statement, André Lesort in 1950 gave the following example : 'In the Archives of the Seine we had to deal with 24 lorry-loads of papers relating to cases in the Paris police court which were dismissed, dating from 1871 to 1884. Obviously such large quantities of records could not be kept on a permanent basis. It is equally obvious that it would not be in the interests of historical research to destroy the papers without appraisal.' ² Although I have great respect for the memory of André Lesort, who as head of the Archives of the Seine assumed responsibility for appraisal, I confess that I do not see that a useful lesson can be drawn from this example ; for, if the archivist himself did not deal with the appraisal of these 24 lorry-loads of documents, how was it possible to find and pay someone sufficiently educated to do this work who knew that the name Isidore Ducasse conceals the identity of Lautréamont, the name Kostrowitsky hides the identity of Apollinaire, or that the customs officer Rousseau was sentenced in a trial which bears the name of the principal defendant Sauvaget ?

It is very obvious that help must be given ; this is, however, possible only if staff given the job of appraisal can be given precise and simple guidelines to help them to perform accurately the difficult task entrusted to them. In 1943 and 1948, after André Lesort had retired, the Archives of the Seine received two instal-

¹ André Lesort, Intervention in the first International Congress on Archives on the report of M. Pierre Caillet on *Contrôle des Archives en formation* which was discussed on 23 August 1950 in Paris, *Archivum*, I, 1951, p.70.

² *Ibidem*, p.70.

ments of more than 300 tons of files relating to cases between 1870 and 1917 in the Seine police court and the Court of Appeal in Paris. The transfers were complete in a few days, and the files were taken in bulk to a disused electrical factory to await destruction of the achievement of the age of 100 years, before which access could not be given. It was quite impossible to trace the file of any particular case in this enormous and disordered mass ; and there was a great temptation to destroy them all. There could be no question of going through the registers of judgments or decrees for this period, which are of course carefully preserved in the Archives, in order to pick out the 'interesting' cases whose files are worth keeping. Even if he had the time to do so, the most learned archivist would certainly not notice some of the cases which have been of great public interest in their time. Should we therefore throw the helve after the hatchet ? M. Pérotin, then director of the Archives of the Seine, set up a disposal system in which the role of the archivist was only to devise a method and then to supervise its execution. Staff systematically made notes of all significant matters reported in contemporary newspapers, particularly those specialising in legal matters, and from this study they built up a card index of 'interesting' subjects arranged chronologically according to the date of the result of the case (judgment or decree). Staff could then, under the supervision of the foreman of the repository, proceed with an almost mechanical appraisal of the files which have that date on the cover. All files in the card index were kept ; others were examined before being destroyed by a more experienced member of staff who, without opening the files would keep those which in his opinion related to a well-known person, or which were concerned with any of a number of listed subjects such as the press, vice, constraints on the right to work, illegal practice of medicine, etc. Although this last mentioned member of staff kept only a few files, it was noticed that some of them were of little value and should perhaps be looked at again by an archivist, who would now have to deal only with a much smaller and more manageable quantity of files. The effectiveness of this method has been proved, since all the files which we have asked for on grounds that they were interesting for one reason or another were either indexed or found. So we reached the end of the 300 tons of files with no intervention from an archivist beyond getting the work started, ensuring that it was working well and making some checks on the effectiveness of the system.

In the repository at the *quai Henri IV*, we keep a valuable batch of pension books of staff of the Seine *préfecture*. A quick examination tells us that the many pages which make up these books, which no longer have any administrative value, contain no interesting or valuable information. On the other hand, the first cover page of the books gives the name of the person concerned, the post he occupied, his date and place of birth, the date of his entry into the organisation, and the names of his parents, wife and children ; and these could be kept as a good record of the staff of the *préfecture*, some of whom were in post in 1871, and whose file had been lost at the time of the fire in the town hall.

Work on this was carried out by one of our young assistants.

Files of taxpayers kept by the inspectors of income tax open with information sheets which give certain data on the composition of the incomes of the persons subject to tax, which changes only little over the years. When the files are being appraised it is an easy matter, even for a junior member of staff, to separate the information sheets from the documents which are supplied each year. In the last resort it is up to the archivist to decide if a particular category of record is to be destroyed. He may find, as we found in the Archives of the Seine, that there is a well-informed archives assistant whom he can confidently teach to do this work ; but, we repeat, he must personally make the decision to destroy, even if he can leave it to less-qualified staff to carry out his decisions by giving precise and simple instructions. He must always delegate tasks that can be done by others, so that he can have time to act when his personal intervention is necessary. That is why he must very carefully guard against allowing himself to get involved in very detailed appraisal work.

III. SHOULD DISPOSAL DECISIONS BE TAKEN ON EACH ITEM OR ON EACH WHOLE CLASS ?

Here we introduce one of the most controversial questions in the archival world, and one which sometimes leads to sharp divisions of opinion. In his intervention on the report presented on 27 September 1956 by Mr. J.H. Collingridge to the 2nd International Congress on Archives in Florence on the selection of records for permanent preservation, Sir David Evans, the Deputy Keeper of the Records in London, remarked that the 'heart of the problem' was to decide if the file should be considered as the unit for disposal, or if it were necessary to look at each individual paper on the file ¹. The question is worth consideration but cannot, I think, be answered in any definitive way. Sometimes it is necessary to proceed paper by paper ; but an archivist will only rarely be able to do this himself, and only in exceptional circumstances will he be able to tell his staff to do it.

I began my career as an archivist by arranging the archives of smaller townships near the Paris metropolitan area ; and I was then working paper by paper. Later, when I was responsible for inspecting the local archives of the *département* of the Seine, I could see the disadvantages of using such a method on the vast quantities of records which were crammed into the attics of town halls in the suburbs of Paris, which are really over-populated

¹ *Archivum*, VI, 1956, p.36.

towns, over-endowed, sometimes over-administered, and consequently overwhelmed by administrative records. It would hardly have seemed worth while to the town councils which had asked us to do something about their records if we had set out to arrange and appraise them paper by paper.

In the 1921 edition of the *Règlement des Archives départementales* there are some very sound observations : 'Appraisal is carried out in one of two ways. It tends to consist either of choosing from files or registers of the same kind those which are suitable for preservation, either because of their intrinsic interest or as specimens, or more exceptionally of weeding from files those papers which are clearly of little value and which only swell the size of the files. The selection of individual papers is not an easy matter ; and it should not be attempted unless the time and trouble spent on the operation is justified by the amount of space gained ¹. How wise are these words ! We should not begin a task which we shall not be able to complete or which prevents us from doing the many other urgent tasks which the archivist is called upon to perform with equal urgency. When faced with a daunting mass of records, he cannot be sure in any case whether or not it is reasonable to examine the contents of files in order to reduce their bulk, even by a half, by removing copies and transfer slips ; the time that we or our staff spend on such work would sometimes be better spent. Therefore, before undertaking appraisal on a paper by paper basis, a study should be made of its profitability. It will often be found then that the records do not merit this treatment, or that the space gained does not compensate for the time spent ; and if after careful study it is decided that it is necessary to carry out a paper by paper appraisal, we must accept the sacrifice of staff and time at the expense of other work which is sometimes just as important. We can conclude by saying that the basic unit for appraisal is the file, while admitting that it is sometimes necessary to go through the files paper by paper.

However, it is sometimes impossible to assess the value of a batch of records and, more important, to identify them exactly and recognise their precise nature, without making an examination of the individual papers. Until I am convinced of the contrary, I shall hold to my view that it is a pity that an archivist allows himself to be caught out in this way. Every accumulation of records has a history which can always be put together by questioning those working in the place where the documents were found ; if the person in charge of the section who has brought your attention to the records does not know, there is always an elderly member of staff or a caretaker who will remember the origin of the records, if only in a vague kind of way ; and more would be learned from an official directory, a legal textbook and a *Bottin* for the period in question. It would then be possible to complete the information

¹ The emphasis of this passage, which seems to me important, is mine.

obtained from these sources by a telephone call or a visit to officials who have taken over from, or simply replaced, the agency which produced the records, or who were posted from the now defunct agency to other duties. Such brief enquiries with officials or in libraries will identify the records as satisfactorily as a paper by paper examination ; and although the result may be superficial and always capable of improvement, it is better for the image of the archivist than that which would be perceived by a devotion to his duties which makes him look like a waste-paper merchant. What is expected of an archivist is, of course, that he is not afraid of hard work and is not reluctant to do the more menial tasks when it is necessary ; but above all else that he uses his intelligence and demonstrates the knowledge and working methods which he learned in the course of his studies, which were both long and at considerable public expense, and which are the basis of the prestigious image of the archivist-palaeographer trained in the *Ecole des chartes*. Above all, the archivist is required to give time and thought to appraisal.

IV. PRINCIPLES GOVERNING APPRAISAL

1. DOCUMENTS WHICH HAVE HISTORICAL VALUE OR WHICH MIGHT LATER ACQUIRE SUCH VALUE SHOULD NOT BE DESTROYED

The archivist will not find himself without help while he is giving thought to a disposal exercise ; the articles mentioned above will prepare him quite effectively, and he would do well to ponder on the excellent advice given in the *Règlement des Archives départementales* : 'In principle, the following should be preserved permanently : a) all files and registers earlier than 1800 ; b) all papers which can be used to establish the rights of a government, an organisation or an individual ; c) all documents which have, or might at some time have, historical value.' ¹ In the present article, which is only about modern records, we will omit 'files and registers earlier than 1800' and concern ourselves only with the other two criteria in the Rule ; we shall therefore only destroy any document after its administrative and historical values have been most carefully considered.

In *The Appraisal of Modern Records* ², Mr. Schellenberg attributes a primary and secondary value to all modern records. Papers keep their primary value for so long as they serve the purposes

¹ Article 52.

² Page 6.

for which they were produced : for example, tax records, while they are still useful to the fiscal authorities, even for the purpose of imposing a tax of a different kind. The returns of income made annually by taxable persons which are kept in the Income Tax Offices in some cases include an annexe giving a return of turnover which the Inspector of Income Tax uses to make a preliminary assessment of the amount of tax and to check the accuracy or plausibility of similar returns made in past or future years ; but the copy of this annual return is also sent to the Inspector of Indirect Taxes for comparison with the monthly or quarterly returns which he has received, and possibly to help in making a better assessment for the tax for which he is responsible. When administrative papers are examined by an archivist to decide their fate, they have usually already lost their primary value, even if they may still retain some administrative value.

In the course of time, administrative records acquire a secondary value, which means that they serve purposes other than those for which they were originally made. These purposes may still be of an administrative nature : thus, during the last few years trading licenses and tax records have been used to make up pension files for self-employed persons, shopkeepers and professional people. They also acquire an historical value, which might still be of interest to the government, which might for example want to find out about the growth of retail trade or the migration of certain professions in some areas, etc. But it is especially the historians who in fact, or to all intents and purposes, give historical value to administrative records, and for that reason archivists pay very careful attention to such papers. For, in case it is necessary to repeat it, the archivist takes an interest in administrative records for the sake of history ; and while he is pleased to provide services which are not directly concerned with historical research, his first aim is nonetheless to serve the interests of history - past, present and future. That is what totally distinguishes the services he provides from those of officials who may be just as zealous and efficient and sometimes more versed in the techniques of documentation and even of filing.

I cannot entirely agree with the opinion of Georges Bourgin, who said that 'the Archives must before all else serve the State, making it possible for the State to preserve its rights, to claim all that it can claim, to ensure the observance of its laws and to prepare statistics which are essential for the effective conduct of government business... The historical function of the Archives is to my mind secondary and almost superfluous... I believe that the essential function is for the benefit of the State, and that the very word 'archives' makes this clear' ¹ Georges Bourgin has merely elaborated a statement made by the Ministry of Public

¹ Intervention by Georges Bourgin, former Director of the *Archives de France*, at the 1st International Congress on Archives in Paris, on the report by M. Pierre Caillet, on the *Contrôle des Archives en formation*, discussed on 25 August 1959, *Archivum*, 1951, pp.68, 69.

Education in 1905 : 'The main reason for keeping archives is to defend the rights of the State, of departments and districts, and to help the efficient conduct of public affairs.' ¹ The archivist is well aware that archives would not exist unless the State had need of them, and that, as M. Bautier has remarked, the irreplaceable value of archives derives from this fact. 'Archives are kept... because they are the 'documentation' of an organisation ; they are the 'titles' to its possessions, the 'proofs' of its rights and claims ; they contain the 'precedents' for the conduct of business ; they make it possible for those who keep them to protect their interests or to take initiatives... Archives do not come into being with any historical significance, but acquire it in the course of time ; and that is exactly why the historian prizes them so greatly.' ²

Can we go further and say that the historical value of records depends on their administrative value ? It would probably be rash to argue this, even though it is tempting to do so ; but we must contend that an understanding of the administrative value of records is absolutely essential to an appreciation of their historical value. During visits I have been asked to make to various bodies to inspect current records or to deal with their destruction or transfer to the Archives, I have always begun by asking for an explanation of present-day functions and the way in which the different departments operate, as I am well aware that this will help me to form my views on the historical value of the records. As it has been said, records are only a by-product of administrative activity : the administrative machine provides services, fulfills the functions for which it was set up, and, for a number of reasons, it keeps records. We should not, however, draw too hasty conclusions from this statement.

In a sound analysis of the problem, M. Robert Favreau writes : 'The most important records are those produced at management level, which are concerned with formulating policy and launching programmes. They explain the reasons for an action ; they make it possible to follow the broad lines on which it developed, and the way in which it was controlled and coordinated. Generally speaking, the higher one goes in the administrative hierarchy, the more important and the less numerous are the records ; and in a centralised system, the most important records are to be found in the central government departments and not in the regional or other local offices. These 'management files' lead to the creation of 'operational files' whose importance can be measured by the fact that executive action is taken by 95% of public servants.

¹ *Ministère de l'Instruction publique et des Beaux-Arts, Direction des Archives : Lois, décrets, arrêtés...op. cit., p.144.*

² Robert-Henri Bautier, *Les Archives*, in *L'Histoire et ses méthodes*, published under the editorship of M. Charles Samaran in *L'Encyclopédie de la Pléiade*, Paris, 1961, pp.1120, 1121.

These executive functions are performed at several levels of responsibility ; and the lowest level produces records which are the most numerous, but of least historical importance.' ¹

I think that M. Favreau did not mean that registers of grants, household returns for the census, tax returns, etc., are lacking in interest because they are operational files. On the contrary, they seem to me more valuable than the management files on the same subjects, which have often been used in printed publications which are generally available and can be seen in any library. The records of central government departments in any governmental system may give a wider and more comprehensive picture, but it is by no means certain that it is easier to write history from the archives of central government ; archives of regions, *départements* and districts are not kept only for local history but also for general history ; and anyone who has read that excellent book by M. Pierre Gaubert on *Beauvais et le Beauvaisis de 1600 à 1730* will know how much local history can enrich the quality of History in general.

Do archivists always make the best use of the possibility of keeping archives in different repositories within a kind of hierarchical structure ? While it might seem absurd to keep case files on unemployment assistance in the *départements*, an historian would perhaps be glad to find that the files for each *commune* were kept by the municipal archives. Similarly, should we keep all building permits issued by a *département*, or would it be better for each *commune* to keep all those relating to its own area ? Could copies of reports sent to central government and kept in the originating departments be destroyed if preservation of the originals in central archives could be assured ? The *Archives départementales* preserve archives which come from regional offices of ministries without knowing anything about the archives of those ministries ; some coordination of the work of *missionnaires* from the *Archives nationales* and of archivists in the *départements* would be very desirable and profitable.

Further analysis of files at management level makes it necessary to distinguish between those which concern 'management', which the director inherits on taking up his post and which he leaves behind in greater quantity when he leaves, and 'policy files' in which are reflected the personal methods in which the director chooses to carry out his duties. Whether shocking or not, he often regards these papers as his own property, rather like his own way of thinking or working, or his network of family or social relationships. These records are 'usually the least well kept, lacking any order and containing many copies on the same subject ; they are rarely treated methodically and are frequently denuded of papers which were considered to be confidential' ². Everything

¹ Robert Favreau, *Les Archives*, 1965, p.5.

² *Ibidem*.

in this jumble of papers is valuable ; those which seem worthless to us once had a significance which now escapes us and which the historian should be able to discover, or else the director concerned was unworthy of the post he filled. If the archivist has succeeded in getting hold of these papers and keeping them, it will be a simple and interesting matter to establish it. The archivist needs a great deal of tact to secure the transfer of 'private' papers or to prevent their secret destruction when an official retires or is posted ; we have just seen that in these records the originator reveals his most intimate thoughts and actions, and the archivist does not find it an easy matter to get possession of them. There is nothing new in the fact that archivists who deplore the situation in which papers belonging to the great servants of the State are kept by their families are nevertheless pleased that their heirs have considered the papers as a priceless heritage and have saved them from destruction. It is unfortunate that these 'personal' papers are sometimes unnecessarily mixed up with administrative files which the office-holder brought with him. However, all these top-level papers - general policy files or management files - must be very carefully preserved, and only rarely will the archivist be able to destroy any of them, particularly as they are not large in number.

When we say that the historical value of documents, which is essentially a secondary value, sometimes arises directly from their primary value, it is also true that we can still find historical interest in records which have entirely, or almost entirely, lost their administrative value. Thus the *Règlement des Archives départementales* authorises the destruction after 60 years of statements of remuneration and deductions for the pension scheme for teaching staff ; after that time these records have lost all primary and administrative value. But in the absence of old directories and lists, we believe in the Archives of the Seine that these salary statements give for each year a list of teaching staff and the posts they held ; their considerable bulk made it impossible to keep them all, but we decided to preserve all those for the month of January in each year, from which it would be possible to carry out research either for statistical purposes or for the identification of individuals.

This example shows how every paper which has lost its primary or administrative value can, as M. Levron remarks in the article cited above, acquire an historical value ¹. The ever-increasing growth in the number of administrative records obliges the archivist to destroy many of them, but he does this only with regret, as he is well aware that almost everything could be considered important enough to keep ; and it is with some feeling of unease that he will read the article by our colleague M. Michel Nortier, curator

¹ Jacques Levron, *Le triage des Archives*, in *Gazette des Archives*, no. 20, July 1956, pp.16 and 19.

in the *Bibliothèque nationale*, on the *Archives dispersées de la Chambre des comptes*, in which he demonstrates the value of the 'thousands of supporting documents which have lost their administrative use since the accounts to which they belong were audited and filed'¹ and which have subsequently been dispersed, given away, and even destroyed by archivists of the day. To dispel the disquiet which might be felt on reading this, we can always say (without mentioning from now on the problem of documents which have been summarised), that modern records cannot be approached in the same way as those of an earlier age, particularly medieval, and that the wide circulation of printed material in the fields of information and administration have drastically altered the criteria which are applied to the disposal of records. Nevertheless the problem remains. The archivist is aware that everything may have value for historical research, or may acquire such value, and that the interests of history compel destruction of documents ; and he must always have historical values in mind.

But 'the notion of historical value changes and evolves', as Mlle Renée Doehaerd has remarked. 'From the accident and event in political history it has gone on to be concerned with the continuous processes of economic history...history is never only a variation on the present... Although changing with time, historical interest is determined by the common subjectivity of men living at the same time... When based on historical interest, our choice will only be that of a given period.' ²

This clear view should not allow us to resign ourselves to arbitrary destruction based on historical values as we see them today ; we must try as far as possible to correct or improve all the time the subjective selections made by methods and procedures which are obviously imperfect and open to criticism, but which have the merit of having been clearly explained.

M. Robert-Henri Bautier some time ago wrote strongly against the practice of sampling ³. This practice does offer a number

¹ *Bibliothèque de l'Ecole des chartes*, CXXIII, 1965, book 2, p.468.

² Renée Doehaerd, *A propos des archives contemporaines*, in *Archives, Bibliothèques et Musées de Belgique*, 1947, vol.XVIII, no.2, pp.76, 77. I have emphasised what seemed to me the most important of the passages I have extracted from a long and fascinating paragraph.

³ Robert-Henri Bautier, *Triages et éliminations des documents d'archives*, in *A.B.C.D. Archives, Bibliothèques, Collections, Documentation*, no.9, May-June, 1953, p.250. The word 'model' is used here in a sociological sense as a 'type of grouping, of class, of activity, of way of life, etc.' ; the examples given will, I think, make the meaning I have given to this term sufficiently clear. Also, influenced by the sociologists, and contrary to the definition given in Elsevier : *Lexicon of Archive Terminology* (Amsterdam, London, New York, 1964, no.146), we have in the Archives of the Seine distinguished carefully between the meaning of the words 'sample' and 'specimen'. Sampling is a selection which is representative of the substance of the whole ; a specimen is an illustration of the kind of document. I hope that the examples given will make this clear. More detailed explanations will be found in works and articles mentioned in *Bibliographical approach* (above).

of disadvantages ; but it is the principles which have so far governed sampling, and in particular the principle of the 'model', which are open to criticism.

We have made some tests on the damaging effects of sampling in the Archives of the Seine. André Lesort, faced with a mass of tax returns deposited each year in the Archives of the *département* (more than 300 linear metres), came to an agreement with the Income Tax Office to keep only : 1) tax files for 'various districts of Paris, which, given the character of their population or of the business activities carried out there, had to provide returns which are specially representative of the way of life of different social categories, of the level of business activity, the distribution of wealth, in short giving a summary of economic activity in the capital city' ; 2) files of a suburban *commune* as representative as possible of each of several kinds - industrial, residential, mixed, older areas, recent and rapidly developing localities (housing estates) and rural districts ; 3) the individual files of a certain number of large commercial or industrial establishments, of business concerns in Paris and the Paris region, of notable persons chosen in various ways from the professions, politics and the arts.

The list drawn up according to this agreement did not satisfy the wishes either of the Commission on Financial Archives which, at its meeting on 24 August 1940, recognised that 'tax files are of great value for economic, historical and anecdotal research' but wanted all the files of one or more typical tax offices transferred, or the *Direction des Archives de France* which found that in drawing up this list, too much attention had been paid to anecdotal material, and particularly to the importance of business concerns or to the fame of individuals. M. Charles Samaran, then Director of the *Archives de France*, said on 11 June 1941 that 'the transfer of the records of one office would fill up the Archives without bringing a substantial addition to available information' and that the selection of a typical office would be an example of the disadvantageous method of topographical sampling.

In a short time, in fact, an *hôtel* can change into a block of appartments to let or for sale, a residential area can become a commercial district or *vice versa*, and a rural district can become an industrial town ; and before long therefore the criteria for selection drawn up by André Lesort, which obeys the 'model' theory, will no longer satisfy either the Archives or the Income Tax authorities, who will want us to review the situation.

We repeat that the only satisfactory solution would have been to keep everything, but this is unthinkable in view of the vast quantity of the documents. A joint investigation was therefore undertaken by the Archives of the Seine and the department for Income Tax. We have hardly any thought to the proposition that we might keep for each year only those files concerned with the revenues raised, which are easy to recognise from their greater thickness, for, having regard to the economic role of Paris and the concentration in the *département* of the Seine of persons with

the largest incomes, the system would have filled up our repositories without giving the future historian the documents which would allow him to begin a deep study of economic and social structure of all levels of society.

In September 1964, it was decided therefore by common consent, and with the agreement of the Director of the *Archives de France*, to keep only the tax returns made in a year in which a Census is held, in order to obtain a 'fiscal photograph' of the *département* which would correspond to the demographic information accumulated at the time of the Census. We have even seen with pleasure that our method of selecting tax files was one of the three ways of possibly doing this which was given in the circular from the Director-General of the *Archives de France* (AD 65-13) of 14 April 1965, and that it was recognised as particularly suitable by 'two hundred social history specialists who met in a national colloquium at the St. Cloud training school for teachers on 15 and 16 May 1965'¹.

We are well aware of the drawbacks of this method. It does not take account of changing circumstances, as the year in which a census is taken can be a year of expansion or recession, in contrast to preceding or following years. It obeys the traditional rules of chronological 'short-term' sampling, in disregard of the 'long-term' which is dear to modern historians; the curve for the growth of wealth, or rather for the growth of revenues which shows this, will only be formed by joining up points which are well spaced out; and the 'fiscal photograph' which we get from it will be no more than a statement of the situation at a well-defined time, like a portrait of a person or family photographs. But it will always be perfectly possible by reading newspapers or printed archives to get a clearer picture of the period when the future historian is using records which have been preserved. Concepts of historical research have been changed by the considerable growth in the quantity of printed documentation which is available, and it is now even possible to imagine an historian using only printed sources; but one of the main duties of an archivist is to provide those who want to write history with the means of making a critical approach to published material at his disposal and of seeing if controversial matters discussed in publications are vindicated one way or another. Chronological sampling, which makes M. Bautier shudder when it is applied to medieval archives (French archivists of the nineteenth century having kept only one Treasury Journal for each reign) is much less shocking when it is applied to modern records in accordance with sampling procedures which follow sociological criteria which are always under review. We can now say that by bringing in 300 linear metres of tax returns in every census year we are introducing into the Archives 'truly organically constituted groups', as M. Bautier wants.

¹ *L'Histoire sociale. Sources et Méthodes.* Colloquium held at the *Ecole normale supérieure* at St. Cloud (15, 16 May 1965), Paris, Presses Universitaires de France, 1967, p.293.

At the same time, let us note that when we speak of the great growth and proliferation of government records, we are thinking especially of the kind of records known as 'operational files', which result as much from the expansion of administrative functions as from the division, delegation and sharing of those functions. Executive actions, states M. Favreau in a sentence already quoted, are performed by 95% of public officials, and I am almost convinced that operational files make up almost 95% of all government records. It is therefore neither disgraceful nor regrettable to take samples from such a great mass of records, even though we might prefer to take specimens.

The preservation of specimens neither obeys the same rules nor serves the same purpose as sampling. Mr. Schellenberg very appropriately explains the distinction between samples and specimens by explaining that records are kept for two reasons : for their informational value and for their evidential value. For example, files on payments for war damage can be brought into the Archives to provide general information on the history of the war, or particular information on more or less famous victims of the war, or to provide evidence about the organisation and operations of the authorities responsible for indemnity for war damage. For evidential value it will be sufficient to keep a small number of specimens, while to provide for the informational value it might be necessary to take a sample if unpublished information of this kind can be derived from the war damage files. In any case, it seems to me that such information can only be of interest for local history and not the general history of the war, for which there are other well-known sources. Here we recall what we have said earlier about the need to decide whether operational files of a certain kind should be kept in repositories at various levels of the State structure, so that the information which they contain can be more widely available. If, to take another example, we decided to keep for their informational value in the Archives of *communes* all the files of associations of property owners for the conversion of run-down housing estates, which are of value for local history, we could keep just a few in the *Archives départementales* to provide evidence on the assistance given by the authorities to small property owners and on contemporary housing policy. Archives with informational value will be then in local or regional repositories, when the latter take case files, while mostly specimens will be preserved in the national or central Archives, or in the regional Archives when some special policy is applied there.

However, we should be careful not to suggest that the evidence provided by specimens is only of very limited value, as they dispel our ignorance about the way in which the general rules of the organisation, about which we do know something, are applied. Let us consider keeping specimens which not only take account of the functions of an agency but also its activities ; the functions of an agency correspond to the reasons for which it was created, and its activities are the responsibilities which from time to time are given to it. For example, it is much in the interests of history to know that an agency whose function was education has at

some time been involved in social activities, or that, for some special reasons, agricultural agencies have at a given time or in a given situation been concerned with education.

Finally, the specimen plays an even more important role in historical research. As M. Bautier says, 'It is a piece of evidence which is preserved in memory of a class of documents which has been destroyed, and whose existence makes it possible for an historian to be aware of what has been lost...' ¹. For it is important to the future historian that the archivist provides details of the records he has had to destroy, especially of the great quantities of case files which cannot be kept ; and in this we share the concern of Mlle Doehaerd, M. Genicot and M. Bautier ². We must draw up a proper report of the kind and quantity of records which have been recommended for destruction ; there is no doubt that this is a difficult responsibility ; the archivist is well aware that by doing this and showing that he wants to act openly, he is braving the anger of future historians : all who have written history are always indignant, in a kind of unconscious paradox, about the absence or loss of records which would, they claim, have justified their hypothesis or their learned and ingenious expositions. 'Whatever his standard of education', writes M. Jean Favier, 'his historical sense and his knowledge of historical research, the archivist cannot foresee all future and possible developments of a science which is continuously developing. Economic history, sociology and demography would make use of records which at one time were destroyed, as they were of no value for political history. Disposal and destruction of records are arbitrary and final acts, even when carried out with discernment and scruple.' ³ What do we know about future history, for which the archivist is working, except that it will be fundamentally different from the history we know today ? Otherwise there would no longer be creative minds and history would not be re-written ; for, according to the words of Wagner, quoted by André Malraux in *Les Voix du silence*, 'the man who has not from birth been discontented with everything which exists will never discover anything new' ⁴.

¹ Robert-Henri Bautier, *Triages et éliminations des documents d'archives*, art. cit., p.250.

² Renée Doehaerd, *A propos des Archives contemporaines*, art. cit., p.78 ; Renée Genicot, *Le problème des archives modernes*, in *Archives, Bibliothèques et Musées de Belgique*, 1942, vol.XVIII, no.2, p.68 ; Robert-Henri Bautier, *Triages et éliminations des documents d'archives*, art. cit., p.250.

³ Jean Favier, *Les Archives*, Paris, P.U.F. (Coll. 'Que sais-je ?', no.805), 1959, p.54.

⁴ André Malraux, *Les Voix du silence*, N.R.F., 1952, p.357.

The rules of the *Archives départementales* which forbid the destruction of 'all documents which have or can acquire historical value' therefore leaves the archivist without any help or appeal when he has to make irrevocable decisions on the destruction of records. However, let us read and study this rule, hoping that we can get the help we need.

2. 'IN PRINCIPLE, RECORDS IN WHICH THE BASIC INFORMATION THEY CONTAIN CAN BE FOUND SUMMARISED IN ANOTHER DOCUMENT CAN BE DESTROYED, ESPECIALLY IF THE SUMMARY IS PRINTED'

We have already mentioned the radical change in historical research brought about by the invention of printing, and particularly its use in administrative practice ; and we shall return to this again. Let us look at the problems raised by documents which are summarised and at the summaries themselves, and return to the article already cited by M. Michel Nortier on *Les Archives dispersées de la Chambre des Comptes*.

'It cannot be denied that generally speaking the supporting voucher is only a document which corresponds to an account ; the latter is generally a summary which gives only the essential information, with the voucher providing all the useful details.'¹ We cannot escape this dilemma : either the summaries reproduce entirely but in a different order all the documents which are summarised (in which case there is no problem and we must keep the documentation which takes up less space), or the summarised documents contain information which is likely to have historical value and is not to be found in the summaries.

Even the most detailed kind of summaries do not by a long way contain all the information which is in the primary documents from which they were compiled, at the same time as other preoccupations. We all know what was written following the 1954 census, but even a fairly inventive person could hardly envisage, by looking at a few household returns, all the other studies which could have been made from it, and which will be made in future. That is why we have decided in the Archives of the Seine to keep all the household returns collected in the *département* at the time of the 1954 census, even though they occupy 800 linear metres of shelving.

Would it not be simpler to keep the punched cards which have been used to process the information, and which occupy less space ? Punched cards are not a source of information, but are only a means of using certain information more rapidly ; that is the measure of both their value and their insufficiency. They were made to provide answers to questions put by the authorities at a given time ; and they can only answer those questions, as they omit

¹ Art. cit., p.475.

some kinds of data which would be useful for historical research. The archivist will have the gratitude of future historians by keeping punched cards which make it possible to get rapid answers to some questions, but he will satisfy them more if he provides them with the great wealth of information which is in the basic documentation.

Is it necessary to add, without actually saying that they are weighted, that these cards could be punched with a bias which could be used for propaganda purposes. Following the results of an enquiry made by the *Institut national de la statistique et des études économiques* which was published in *Etudes et conjonctures* on 5 May 1962, an article was published in a trade union weekly with the title *Ce que ne dit pas l'I.N.S.E.E.*, where not only were certain omissions listed and explained, but where the methods and results were questioned. Without taking sides in the debate, we are well aware that statistics can show the best or the worst of anything. The archivist, with his concern for historical truth, will have to make it possible therefore to revise and check the statistics ; he will have to provide historians with the means to criticise the many publications at their disposal and the picture which they present of the period which they are studying. Shall we then fill up our repositories with case files ? Certainly ; and here again, it will be useful to have a hierarchy of archive repositories in a system in which the *Archives départementales* would keep basic documentation which has been used for national publications, and local Archives would have other documents such as requests for assistance for unemployed persons or for free medical aid, which have been used for statistics which concern the *département*. Here again it would be desirable to state clearly what is the general policy for the preservation of archives.

Drastic changes have already been introduced : it is sometimes a temptation when government agencies offer large quantities of records for destruction or preservation to keep only the registers, which give a condensed record of the business conducted by those agencies. Besides the fact that registration of mail has more or less disappeared from government offices, it would seem rather desirable in most cases not to preserve registers which, at least at present, are usually kept by junior staff and which give only very brief information. That is the opinion expressed by Dr. Virgilio Giordano, Director of the State Archives of Caltanissetta (Sicily), in his intervention on the report presented on 27 September 1956 to the International Congress on Archives in Florence by Mr. J.H. Collingridge on the *Selection of Archives for Permanent Preservation* : 'Can we dispense with registers of correspondence ?' he asked. 'Theoreticians on archives ask that they should always be kept ; and it is a fact that in the past these registers were made in such a way as to make it possible to identify an action (date, author, destination, subject). Today they do no more than indicate the distribution of mail between departments, being kept only in summary form and using only initials ; their only purpose

is to show the date of a letter and its despatch to a certain department. Research in these at a later date is impossible and their destruction could be recommended.' ¹

Administrative methods have changed considerably : 'the Registratur system', says M. Bautier, 'is peculiar to central and eastern Europe. Its main characteristic is the keeping of working files, each made up of a number of papers which have been received by an agency and copies of letters sent out which relate to the same business, and usually fastened together in the same cover. It makes it possible to set up a preliminary plan for the arrangement of the archives of that agency, and it makes it easy to handle and use the files for office purposes and in the Archives. On the other hand, other countries, and notably France, continue faithfully to use chronological registration and to keep decisions, proceedings, correspondence, etc., separate, both in the offices of Secretaries of State and in councils and courts. In this respect, the countries of Central Europe have made a considerable advance in the field of administrative rationalisation ; in Latin countries, on the other hand, the arrangement of records right up to the present day remains difficult, and the task of the archivist much more complicated' ². M. Bautier's analysis undoubtedly applies to the past ; but although it does not adopt the strictness of the registry system of Central European countries, the French administration is more and more giving up the chronological method of keeping papers in which both important and insignificant letters are filed in order of despatch or receipt. Agencies more and more arrange their papers in working files ; and it is not surprising that it is sometimes said that it is the archivists who try to keep this outdated chronological system for the papers of government departments. Management of the files is increasingly entrusted to junior staff, while Organisation and Methods services, in which the archivists should always be represented, develop ingenious methods of filing. The preservation of papers in the chronological system, which leads to the filling up of the Archives with despatch folders, courtesy notes, acknowledgments of receipt and documents sent or received 'for information', and therefore usually being as costly as the preservation of files, may be considered nowadays as a mere escape from archival responsibilities.

Neither the keeping of '*chronos*', of registers, of punched cards, of statistics, nor of summaries (which are sometimes necessary) provide the panacea which would make it easy for the archivist to destroy valueless records in large quantities. Are there not some documents of special kinds which make it unnecessary to fill up the Archives with operational files ? Perhaps the third of the rules for the *Archives départementales* will provide a key to the problem.

¹ *Archivum*, VI, 1956 (1958), p.36.

² R.-H. Bautier, *Les Archives*, in *L'Histoire et ses méthodes*, art. cit., p.1130. I have emphasised the words in the last sentence.

3. 'PAPERS WHICH HAVE ONLY A TEMPORARY VALUE CAN, IN PRINCIPLE, BE DESTROYED AFTER THAT VALUE HAS CEASED TO EXIST'

This does not refer to ephemeral papers such as rough notes, almost unreadable references, rough drafts which are not followed up, other ephemera which civil servants themselves should have destroyed in accordance with the Archives regulations, and which archivists do not expect to find in files which are unreasonably inflated in size. The rule is rather aimed at preparatory papers, such as notes supporting this or that budgetary proposal, the budgetary forms themselves in duplicate or triplicate, or documents prepared for printing. We must lose any inclination to look upon documents from a literary point of view. The manuscript, ready for printing, of the budget of a *département*, for example, is not more interesting than the actual printed copy which is sent under the authority of the *préfet* to hundreds of people ; the corrections do not show any improvement in thought or expression ; they only make the text more precise, or correct errors, and any differences found between the manuscript and the printed version will always have to be corrected publicly.

For all this, these documents take up hardly any space in the Archives and are not to be found in the piles of records offered to the archivist. It is not the same with copies ; and the archivist is sometimes tempted to condemn the very idea that copies should be made. We must not be surprised if a civil servant, knowing that he will need several copies of a decision or a letter, uses all methods of making copies which are provided by modern technology. Let us get him accustomed to regarding these copies, of which he will use only some, as working tools of the same kind as pencils or rubbers, or even better, in the same way as the printed forms he uses ; consequently he will have to keep them in some storage space or in working files, quite apart from the subject files which will contain unique papers on the business in hand, and which one day he will transfer to the Archives.

One further training effort has to be undertaken : it is necessary to get civil servants accustomed to not considering as records to be transferred to the Archives the 'documentation files' which are made up of printed archives or extracts from newspapers and magazines which are to be found in any library. Obviously we should not destroy the press cuttings or printed material which are in files mixed up with unique records resulting from the functions of the agency which originated the files. On the other hand, the laws, decrees and orders which are cut out from the *Journal officiel* for example and methodically arranged can be very useful to civil servants, but they should not be transferred to the Archives.

No longer should we encumber the Archives with 'extract copies'. Thus the department of town planning of the Seine *préfecture* gives a planning certificate at the request of a landowner, a tenant, or

a prospective purchaser of an apartment or a house, which notes all present and future charges on the property. It consists of extracts from a variety of files, for example, decisions on building lines, town plans, etc., which are in the agency's own archives. A copy of the document issued is kept by the agency, not only to make it unnecessary to repeat the same investigation if at some later time another applicant requires a certificate for the same house or apartment, but also so that the agency has evidence of the quality and quantity of the information given to a correspondent who in good faith may have misunderstood the document which he had received. It seems that these planning certificates may be destroyed without worry, in the same way as we eliminate copies of judgments or extracts from police records when we take records from clerks of tribunals.

These extract copies are properly speaking no more the archives of an agency than the chronological sets of documents received for information and sometimes kept carefully by civil servants, even though they have taken no action on them. It was these practices which no doubt Albert Camus wanted to condemn in the remark made by one of the characters in *L'Etat de siège* : 'Monsieur l'Alcade, make out this certificate in thirteen copies. --- Thirteen ? Yes, one for the party concerned, and twelve to make the system work efficiently.'¹ Do not be misled by this little joke. It should not surprise us to learn that when, for example, a department has given permission for the construction of 500 dwellings, it has to send out (as is the case in the *Seine département*) 28 copies of this decision to the technical departments for highways, education, posts and telecommunications, railways, etc. Most of the departments receiving a copy are affected by this authorisation, and would have to open a working file.

But it is true that some civil servants, and even we must say some archivists, burden themselves with collections of papers which have been sent to them and which they keep very carefully with a mistaken sense of the need to preserve. Archivists should take heed of the fact that very often government departments consider themselves to be under no obligation to the Archives and secretly destroy records, because from time to time they have handed over to the archivist some records of decisions which they consider to be more important. To a government department a collection of records is regarded as archives only when they consist of decisions taken by the agency itself. We should not therefore hesitate to destroy collections of circulars received for information and not for action which are kept in departments, for, besides the fact that the collecting of such material is a matter for the librarian rather than the archivist, the basic unit for the processing of modern records is in most cases, as we have already said, the file and not the individual paper.

¹ Albert Camus, *L'Etat de siège*, Paris, Gallimard, 1948, 2nd part, p.116, cited by Robert Favreau, *Les Archives*, op. cit., p.16.

Not only are individual papers duplicated, but there are also duplicated files in different departments, or rather, files which run in parallel with each other. Take the example of the files concerning the reconstruction of the Seine Archives ; possibly there is only one file in the *Direction des Archives de France* ; a few will be found in the *préfecture* of the Seine *département*, first at the *Direction des services d'Archives*, then in the office of the *préfet*, the Office of Finance, the Office of Town Planning, which will give the building permit, and finally the Office of Architecture, which will be in charge of the work. These files, which contain a great number of papers in common, are not quite identical ; for, while each department has a file on the subject, it has given its own special character, depending on the particular function of the agency, e.g. technical or financial. Similarly, some agencies have only a supervisory function, and the files which they keep have no original character : files of the offices of H.L.M. (Moderate Rents Dwellings) in certain suburban *communes* are found, for example, in the town hall, but also in the departments of Housing and of *Affaires départementales et générales*. Many more examples could be given : we meet with files dealing with the registration of engineers and technicians on the approved list for the *département* in the office of the *préfecture* responsible for general affairs of the *département*, as well as in the offices for Highways and for Education, and also in those for Agriculture, Construction and Health. To take a simple case : each administrative unit for its own practical and legitimate needs builds up its own personal files, but such files are also kept by the agency which deals with recruitment and the careers of staff ; the others can be destroyed with confidence.

Before we deal with the difficult question of related or parallel files on the same subject kept by more than one agency, we should note that the increase in the number of operational files is the result of the splitting up of administrative functions. Such files have only a temporary value : staff files cease to be of value to the agency in which an individual works after his retirement ; the same applies to the files on the registration on the approved list of engineers and technicians which are found, for example, in the office of Highways ; once the accounts and works of the offices of H.L.M. have been approved, the preservation of the files in the office of General Affairs for the *département* is no more necessary than that of the file relating to the rebuilding of the Archives in the office of Town Planning after building consent has been given ; we can even say that the file concerned with this reconstruction in the office of Finance has no essential value when payment for the works has been made, for it is evident that some of the more complete files kept in other offices will have information about financial aspects. Obviously, such files are of merely transient interest for the administration. But what about the Archives ?

It is quite impossible to keep these various series of parallel files. We might consider making up a complete 'ideal' file from papers kept in all the files ; but such a reconstruction would

present insurmountable problems ; it is also impossible to decide on a date for making such a reconstruction, as the various agencies will be unable, for a number of reasons, to hand over their files at the same time. Moreover, we agree with M. Bautier that in many cases this would be 'an archival heresy'. We must positively refuse to mix files of different origins, as has often been done by archivists in the past, who have brought together records of the *préfecture* and those of the inspectorate of schools, those of the *préfecture* and those of the Public Estates Office, and indeed, in a *département* in the west of France, the records of the Office of *Cultes de la Préfecture* with those of the bishop' ¹.

On the other hand, it is possible (and that is what we have done in the Archives of the Seine) to examine these parallel files in order to establish their number and quality, and to select that which will be kept on grounds that it brings together most information on all foreseeable aspects of the matter in question. There will be no perfect solution ; the archivist will have to make a selection and take a decision which will not be acceptable to all, but to which he will have given some thought and which he will have to defend if necessary.

V. DISPOSAL PRACTICE IN THE ARCHIVES OF THE SEINE

Our concern in the Archives of the Seine during the past few years has been not to allow ourselves to be governed by the papers, but to carry out a general policy which can be defined, explained and justified if necessary. This has been explained by M. Pérotin in the various publications which I have cited above : I will do no more than sum it up by a brief mention of some of the achievements in which I have played a part.

First, in an attempt to play a part in the work of organisation and methods services we have tried, in a number of discussions and conferences, to give 'archival' training to civil servants, in order to get them to think about the use which they make of their papers and of the help which an 'archive policy', drawn up with their help, advice and suggestions, could bring to their work. Each time we bring up these problems, we have met an audience which was always attentive and understanding, and sometimes enthusiastic. Civil servants want only to perfect their methods, to understand the concerns and responsibilities of the officials with whom they have to work, and to know what practices are

¹ R.-H. Bautier, *Triages et éliminations des documents d'archives*, op. cit., p.248.

used in France and in other countries, knowing very well that for the time being the prospects for improving administrative practices will be confined to the study of what is done in countries which have reached a state of development which is comparable with ours or even higher.

Following these discussions, conferences and studies on the subject, a policy of developing intermediate repositories was decided for the Archives of the Seine, the first stage being completed in July 1962 in the Department of Housing ¹. The initiative for setting up intermediate repositories unhappily does not come from archivists ; for a long time government departments, faced with the refusal or incapacity of archivists to deal with their records, have got rid of their papers by putting them in old barracks, in disused forts, in garages or abandoned factories. It is now necessary for archivists to make censuses and inventories of all these more or less hidden repositories, and then to organise them in a way which is satisfactory to both government departments and the Archives. Masses of administrative records have to be stored economically but sensibly in premises which cannot be used as offices or for housing (cellars, lofts, cupboards, old warehouses). It is unusual, for example, for expensively built archives repositories to be used to store documents which will be destroyed when their administrative value has ceased ; it is at the same time regrettable that government departments are overwhelmed by masses of records which they hardly ever use and which clutter up offices or even actually displace staff from offices ². On the other hand, some documents which have to be kept permanently are not yet available to the public for a number of reasons ; it would be sensible to let them 'age' in intermediate repositories while awaiting their final arrangement and cataloguing. M. Pérotin has explained the value and practice of intermediate repositories ; I can only refer to what he has written on the subject ³.

The development and improvement of the use of intermediate repositories were included in a more general policy of making a

¹ This repository, which has been in operation for 5 years under a regulation drawn up by the Archives of the Seine but with staff from the Housing Department, provides about 350m of metal shelving; each year it takes in records and undertakes disposal (about 75m) under our control ; transfers and destruction are recorded on lists ; about 10 files a day are produced, most being sent back within a fortnight.

² Thus the setting up of the Intermediate repository for the Housing Department freed four offices and provided space for fifteen members of staff.

³ See also M. Michel Duchein, *Les bâtiments et équipements d'archives*, Paris, 1966.

census or survey of government records. In 1962, M. Pérotin made me responsible for making an enquiry into the quantity of records in government departments which are the responsibility of the Archives of the Seine ; for reasons of practicability or opportunity we left aside some of the larger departments, such as the *Préfecture de Police*, *l'Assistance publique*, the *Chambre de Commerce*, the *Caisse primaire de Sécurité sociale* of the Paris region, etc., either because the status of their archives is not well defined, or because the preservation of their records has already been more or less satisfactorily studied, or, we confess, because we knew we would find ourselves faced with problems which we could not solve. Two questions were put to government departments : 1) What is the actual quantity of records ? 2) What is the annual rate of growth ? Replies to the first question showed a total of 600 linear kilometres, and the agencies questioned showed an annual rate of growth of 75 linear kilometres ¹. The *Caisse primaire de Sécurité sociale* of the Paris region heard about our enquiry, although we had not questioned this body, and came to tell us that it has an annual accrual of 400 linear kilometres. Our intention was to repeat this enquiry each year ; it would then be possible, from the changes which would occur, to detect which were the expanding departments, both from the administrative point of view and that of the Archives. However, for a number of reasons, the enquiry was repeated only in 1964 when, allowing for error, the figures showed hardly any change from one year to the other ; the quantity of records did not rise above 500 linear kilometres, but the agencies showed an annual growth of 90 linear kilometres.

These figures might have led us to be discouraged, but we quickly became aware that for more of the time we are faced with operational files, that the division of administrative responsibilities has caused, as we have remarked above, a considerable inflation of the amount of paper, and that a thorough evaluation of this mass of records would lead us to destroy almost 90% of them without any difficulty. A quantitative survey was therefore undertaken ; obviously we could not use a sampling technique as one could for a sociological investigation, and it was therefore necessary to carry it out systematically and carefully, using all the discipline of the 'chartiste' method and making visits, department by department, office by office, to government departments producing the records in order to identify at source the records over which the legislation in force has given to archivists the power of life or death. This is what we have begun to do. After each visit a report is made which describes the administrative functions of

¹ To understand these figures, we must remember that, according to estimates made by the Technical Department of the *Direction des Archives de France* it requires 170 square metres of floor-space to store one linear kilometre of records. M. Pérotin has given an account of this enquiry in his annual report presented on 1 July 1962.

the agency under review, and the classes of records produced by it which we have seen in its offices and other premises. It is obviously a long-term project which, given certain conditions, could give quite satisfactory results. First it would be desirable that such an enquiry should be conducted by a team ; it is always beneficial to be able to compare opinions and have discussions. Then it should be agreed that *Archives départementales* which are engaged in similar enquiries should communicate with each other on the results and their thoughts about them. Moreover, the conclusions drawn from their work and discussions would benefit from comparison with enquiries of the same kind carried out by '*missionnaires*' in central government departments. Agencies in the *départements* only carry out a policy laid down by the ministries to which they are responsible, and the records which we have to deal with owe their existence to circulars issued by the central government agencies. On the other hand, the policy which I have described as the storage of archives in a 'hierarchy' of repositories would make it possible to destroy many duplicate or parallel files. Finally, this investigation should be repeated from time to time, according to a plan covering a number of years, in order to make amendments which are inevitable as the administrative machine evolves.

All these attempts to define and carry out a coherent policy have not always met with the same success ; as we have seen, some of them need time to succeed. But it was very necessary to deal with urgent situations, and it was not possible to ask civil servants to leave their records intact until the investigation we have undertaken is completed. Inspired by the works of Mr. Schellenberg, we have begun a method of disposal which allows us to attend to the most urgent matters first and to await what is finally decided as a satisfactory policy for modern archives.

When a government department wants to get rid of records which it does not need, it will inform the director of the Archives by a note which gives briefly the quantity, the description and the date of the files which are to be handed over or destroyed. For, as a rule, we refuse as far as possible to deal with undefined and unidentifiable heaps of documents. This note begins the routine investigations : reference to *Bottin administratif* or to the departmental directory will allow us to place the department concerned in the administrative hierarchy, and to discover the name of its head ; we refuse to deal with a typist or a filing clerk who could not explain what the agency did and the records which result from its activities. Research will tell us what was the past policy of the Archives towards this agency in respect of inspection, disposal or transfer ; for it would be a pity to interrupt classes of records already begun. Finally, we read the regulations in force, although we have seen that they do not always give us the help we need.

Whatever else we do, all this preliminary work should not take up more than a week, so that we can meet the head of the agency within a reasonable time. We ask him to explain to us

all his duties and responsibilities and to list all the categories of files to which they relate ; then, after all these preliminaries, he will show us the files which he wants to dispose of. Even if we happen to reach a fairly rapid opinion on the value of the papers in question, we do not as a rule take a decision on the spot as to whether to keep or destroy, first, in order to give ourselves time to think, and second, to prevent civil servants arguing against the decision we have taken.

For, as we have said over and over again, there will always be a choice to be made and a decision to be taken. To make it easier to choose, we have been accustomed in the Archives of the Seine to ask ourselves some questions which we are bound to answer, even if the replies are awkward and complicated.

1) Are the files shown to us those of the director, another important official, or a junior ?

2) Are they operational files, management files or general policy files ? We have seen that a director can himself keep operational files, or rather, management files.

3) Are the files unique or are there duplicates ? Shall we find similar files elsewhere ?

4) Shall we keep these files (a) : to give evidence of how the agency works (specimens), or (b) : for the information they give ? Is the information of a general nature, or is it about individuals ? It is quite in order to take in documents for the information they contain about individuals, but the reason for doing so must be clear.

5) The form of the documents can also affect the decision : for several reasons it might be preferable to take punched cards rather than the household returns, or microfilms to original papers, or *vice versa*.

6) Is the content of the documents, whether informational or evidential, in a compact form ? In other words, shall we keep a register in which each page only contains one line of interesting information ?

7) Is the information important or not ?

This last question involves subjective appraisal, which, however much we would prefer to avoid it, is inevitable. We admit that we can rarely answer all the questions in a satisfactory way ; but attempting to answer them has helped us to think and to make a decision, which will always be of an arbitrary nature. That is why we have considered it necessary to assume full responsibility, both now and in the future, for the irrevocable action we take in destroying records. We make a report which explains our thinking when we fill up a disposal form which describes the quality and quantity of the documents to be destroyed and the reasons for our decision.

The disposal list plays an essential part in documenting the action taken in dealing with large quantities of modern records. It is the only means of putting into practice the well-known principle of 'respect for the integrity of the record group'. When we recall the definition of a record group given in the *Lexicon of Archive Terminology* (no.91), 'an assembly of documents which accrues in the exercise of an individual or a body', we know that it is impossible for the modern archivist, given the proliferation of government records, to provide historians with record groups which are all intact. As we have said, however, the archivist should make a report on the composition of the record groups which he has examined and on any changes they have undergone, particularly any destruction which has taken place. The latter must therefore be recorded very precisely in a list which is as exhaustive as possible, but without going into great detail, of different categories of files, and even exceptionally of formal documents, which have been destroyed. It is essential at the same time to give a detailed appraisal, even of each separate category. As far as possible precise information should be given about related or parallel files which will make up for the disappearance of the files which were destroyed. The historian can then reconstruct, at least on paper, the history and constitution of the record group which he would like to have studied when it was complete by bringing together the disposal lists, the transfer lists and any preceding correspondence. Thus he will know all about the papers which formerly belonged to the documents which he is consulting ; it is possible and even probable that he will reproach us bitterly for destroying records, but he will have to admit that we did not hide from him the fact that we had done this, that we have explained our action, and in most cases have given him a substitute for the destroyed papers.

VI. CONCLUSION

I am somewhat aware that I have said nothing original, that I have been knocking on open doors, and that I have asked more questions than given answers. Will I be forgiven for having recalled some rules of common sense and some of the essential requirements ? I would consider that I had achieved my objective if this article prompts some French archivists to look into the problem of disposal again, to give some thought to their practices and come up with some new proposals. In 1956, Don José de La Pena, Director of the *Archivo General de Indias* (Seville) said 'that in spite of many rules no archivists are fully satisfied with the methods followed in their countries for the disposal of records. It would be desirable, at the international level, to set up in Unesco a permanent sub-division to study disposal. But especially at the national level it is essential to set up a commission for the preservation of historical documents, formed of specially qualified archivists,

experienced representatives of government departments, delegates from institutes for the standardisation and planning of administrative work, and of historians of several disciplines (economic, social, legal, art history, etc.) who have some practical knowledge of archives. The task of this commission would be to draw up a list of bodies whose papers are likely to be considered as historical sources, to inform itself on the rules followed by those bodies in making their records, to advise on the use of paper and ink, etc., for the preservation needs of papers, and lastly to make a list of the kinds of records which are likely to be destroyed or to have no historical value' ¹. I have no authority to put forward these ambitious but reasonable aspirations as my own, although I venture to present them here. But in view of the difficulty of getting together civil servants, advisers from various bodies and historians of all disciplines for prolonged and profitable sessions, which I believe should be on a permanent basis, would it not be simpler to do as M. Bautier wanted in 1953 : to set up a committee of two or three archivists chaired by an inspector-general of the Archives (or by all the inspectors-general) to study these problems with representatives of each of the major government departments in turn ², and, we would ourselves add, with historians from all schools of history. This study group, which would have to know about government departments at national, regional and *départemental* levels, would be of great service to archivists, and would be able to work towards the formulation of a general policy for modern records.

¹ Intervention on the report presented on 27 September 1956 by Mr. J.H. Collingridge on *The Selection of Archives for Permanent Preservation* at the 3rd International Congress on Archives, Florence, *Archivum*, VI, 1956 (1958), p.41.

² R.-H. Bautier, *Triages et éliminations des documents d'Archives*, art. cit., p.251.

THE APPRAISAL OF CONTEMPORARY RECORDS

Report by Dr Åke KROMNOW¹

1. Introduction

The appraisal of modern records is one of the most important and sensitive problems of archival science. It has been the subject for numerous discussions in textbooks and archival and historical journals. Nevertheless the amount of literature devoted to the appraisal of records has not been in proportion to its significance. The cause for this seeming neglect can probably be traced to a variety of reasons. Difficulties in finding objective standards for appraisal, the inclination to approach problems from a practical rather than a theoretical standpoint and, naturally, limitations imposed by the archivists' own educational and scientific background have certainly played no little part.

The terminology used in the archival field, as we know, is widely varied. Even experts from different countries have difficulties in understanding the concepts and terms used by one another. Often organizational differences between countries lead to misinterpretations.

In this connection it should be stressed that the possibilities for finding acceptable standards for the appraisal of contemporary records depend upon each country's special governmental heritage and administrative routine. It is therefore difficult to draw general conclusions from the experience of any one country.

The original paper was based – as recommended by the organisers of the Congress – on the following:

a) Subject literature which, because of the difficulties of language, is comprised mainly by the works of English, French, German and Scandinavian authors. Among the remaining literature is a work deserving special consideration: F. I. Dolgih's *The relations between State and Administrative Archives* (7th International Congress on Archives)^{1a}.

b) Twenty-six replies to the questionnaire "Enquiry regarding destruction, conditions and problems", which the Swedish National Archives sent to the National Archives or corresponding institutions of some 60 countries in June 1975. The questions were formulated by Claes Gränström, PhD and Jan Lindroth, PhD, archivists at the Swedish National Archives. The replies were reviewed and worked up by Lindroth and the results were used in the preparation of this paper^{1b}.

The references which are made to conditions in certain countries are based on the replies to the questionnaire unless stated otherwise.

1. Abridged version of the preliminary report distributed to members before the Congress. In order to keep within the limits of this volume, four chapters in the original report have been condensed into a very short chapter: "The Organization of Appraisal and Destruction". A chapter concerning appraisal and microfilm has been omitted. Finally, most of the examples taken from the different countries have been left out.

1a. In *Archivum*, Vol. XXIV (1974), p. 33–57.

1b. To a great extent the material and opinions used in this paper come from the works of Sweden's foremost expert on the appraisal and destruction of public records Nils Nilsson's *Arkivkunskap*, Lund 1973, and his *Arkiven och informationssamhället*, Lund 1976, chapter: Arkivgallring på 1700-talet.

2. *The reason for records appraisal. The enormous flood of records and its economic consequences*

The prominent position of the subject, "The Appraisal of Contemporary Records", on the program of the Congress is a natural outcome of the gigantic growth of archive material during this century. Modern society is dependent on research and information more than ever. So much information is needed, produced and consumed, especially in developed countries, that the concept "information explosion" has become a concret reality, not only for the information scientist and librarian, but even for the archivist. This flood of documents is being helped to expand by the use of modern reproduction techniques, among other things. One report can exist in scores of examples in an agency or business. In some cases archive production has expanded and taken on nearly industrial proportions. This mass production problem has, with good reason, become a dilemma of central interest to the archivist.

It has been speculated that the growth of paper archives can be diminished by the use of new and less space consuming information media: microfilm, magnetic tape etc. This may be the case of certain agencies and authorities with large archives². On the other hand, this trend is simultaneously being obstructed by the extremely quick and comprehensive print-outs by which the computer reports its results. The information media themselves have helped to bring about the great rise in the amount of information. The new information media have not decreased the need for records appraisal, on the contrary, they have increased it. We are still a long way from "the paper free society". The computer and electronic information media have made appraisal even more complicated. No Government can or will spend the money necessary to retain all of this mass of information. In time the paper flood must be tamed and channeled by well planned and rational disposition and destruction programs.

What has been previously mentioned can now be illustrated by the use of some figures. Sweden and Finland, for instance, calculate the yearly storage costs for one linear meter of conventional archive material to be a little more than \$ 5. As the archives of state authorities in Sweden grow by about 40 000 linear meters a year, it would cost the Government about \$ 200 000 a year to store all of the material. At times these costs could even be higher. The replies to our questionnaire from some other countries gave similar indications of cost developments.

In addition to the profitability of the disposal of records, one notices the indiscutable advantage of releasing manpower and premises to be used for other purposes. Special stress should be placed on the indirect gains which appraisal and destruction win by enabling the establishment of better systems for accession; useless and hindering information is destroyed. Regarding magnetic tapes, they can be used several times. Poland has also pointed out the savings that sometimes could be made by re-cycling eliminated records and documents.

Naturally it is not very pleasant for an archivist, as Meyer H. Fishbein says, "to weigh on the same scale costs and cultural benefits"³. Nevertheless, both archivists and researchers must face realities. As a rule, each archival authority's goal must be to reduce the cost of retaining information to a reasonable level by well planned and executed appraisal and destruction system. Preservation costs substantial sums of money and demands large investments on the part of archival authorities⁴.

3. *The organization of appraisal and destruction*

The great majority of countries give appraisal and destruction practices a central position within the total operations of the archival system. Archival authorities often feel strong

2. Nilsson, *Arkivgallring*, p. 58.

3. Meyer H. Fishbein, A Viewpoint on the Appraisal of National Records. *The American Archivist*, 1970: 2, p. 186.

4. See L. E. Davis' interesting study: *Preservation of Machine-Readable Records*, 1969, USA.

Government pressure to intensify destruction for reasons of the financial gains that it brings to the State. Seen within this context, it is surprising that many countries allocate a relatively small percentage of the personnel of the archival authorities to appraisal and destruction operations.

The largest number of the countries which replied to the questionnaire have issued general appraisal and destruction regulations mainly encompassing routine series, as well as special instructions for certain authorities. The replies to the questionnaire show that instructions or plans (schedules), describing what is to be destroyed at an authority or number of authorities, is a usual instrument in appraisal and destruction operations. They are variously called "disposal lists", "tableaux de tri" (tri = triage) and "Kassationspläne".

Yet most countries seem to have regulations governing the type of records which shall be retained, especially regarding personal and "policy files". Some countries, such as Holland and Sweden, are guided by the main principle that all official documents shall be retained unless the law yields the possibility of destruction⁵. Archival officials in these countries feel that only in this manner can the destruction of valuable official material be avoided before it can be treated in the archival system. On the other hand, the above mentioned principle brings with it a risk that the material which is eligible for destruction may be retained for a longer period than is necessary.

4. Destruction when replaceable material exists ("substitution")

Formerly destruction was often limited to material which could be replaced or substituted from elsewhere. At that time records disposal was thought to be injurious and that the substitute material should be as complete as possible. Copies, duplicates and excerpts could be destroyed without further ado. Soon, however, subjective judgments were being made. How complete must the substitute material be? Could daily and weekly reports be eliminated if summarized monthly reports existed? Could receipts be destroyed if detailed account books were retained? This method is still of current interest. Yet there is always the risk that concrete details are lost and that the subjective evaluation of the substitute material becomes much too time bound⁶. If the discardable material and that which can be substituted for it is not held by the same generating authority, then it is important that the archival authorities maintain control over the archives so as to insure that the mistake of destroying both material does not occur.

It sometimes is ill advised, however, to eliminate records even though substitute material exists. This might be the case of copies, excerpts, etc., placed in dossiers where disposal could bring about a great reduction in the information value of the material. It can be practical, moreover, to retain copies of outgoing letters, partly in chronologically ordered series, and partly in subject ordered series. Keeping records in duplicate series, as is often the case, can be motivated for reasons of accessibility and security.

The substitution method is advantageous because the archivist has little need to judge the research value of the material or is the researcher compelled to work with material which has been abridged.

5. The appraisal of unique material. General

Already at an early stage the need to weed out material has forced the archivist to do the one thing that he seeks to avoid: to destroy records which are *irreplaceable*. In such cases subjective judgments are decisive. At the outset, it was perhaps enough to limit evaluations to so-called *routine records*, for example, records dealing with the purchase of materials or the maintenance of machinery or equipment. These records can be characterized as con-

5. Of course this does not mean routine paper material which is undoubtedly meant to be used for a short period of time: copies, etc.

6. See, *inter alia*: Grundsätze der Wertermittlung für die Aufbewahrung und Kassation von Schriftgut der sozialistischen Epoche in der DDR (1st. ed., Potsdam 1965).

taining information which reflects individual variations in a well known pattern (Nilsson). A large amount of space can be saved by weeding out such records. The decision to eliminate such material is easily made for routine records often have little durability.

The great archive problem of today is that records, containing a great deal more significantly unique information, must be disposed of. A qualified appraisal of the present and future research value of archive material is necessary.

The whole structure of science is undergoing a change as new sciences, methods and questions emerge. At an earlier time, material thought to be expendable, because of lack of demand or the belief that its contents were too unmanageable, is now actively sought out by quantitative economic and social historians. Mass data is now of special interest and it can be utilized with the aid of the computer. As is often the case, our judgment is influenced by the times in which we live.

It appears to be impossible for even the most knowledgeable and experienced archivist, historian, official or politician to foresee what kind of material will be needed for future research⁷. It is a risky method, as is done in certain countries, to select one or more parts of a material to be saved as "historically valuable". Yet this type of selection is common in regards to records dealing with "famous individual" or precedential legal decisions.

In this discussion of the problems of appraisal, two main lines of development can be distinguished: a strong belief in experience-based judgment of the archivist, and a desire to find more objective criteria for appraisal and destruction⁸. Among those Europeans who are especially critical of the older generation's belief in the intuition of the scholarly archivist – his "Fingerspitzengefühl" – is Professor Hans Booms of Koblenz⁹. He desires the introduction of an objective appraisal theory. As is often the case, both lines of development contain a great deal of truth. The archivist's knowledge and experience of the nature of historical questions is invaluable for appraisal. Yet this know-how is not enough in the long run. The awareness of his own limitations, must cause him to seek out more objective standards for the appraisal of records. A certain amount of subjectivity, however, can not be avoided.

Unfortunately the length of this paper leaves no place for an account of the discussion, found especially in German literature, of the possibilities for the attainment of an objective appraisal ideology. Representatives of the socialist countries contend that the issue of appraisal can only be solved on dialectical and historical materialistic grounds¹⁰. The position of the records-generating agency in the development of society, and its place in the administrative hierarchy, has great significance for the appraisal of archives¹¹. The system has made it possible for most socialist countries to establish definite groups of institutions, the records of which are subject or not subject to transfer for State custody. It seems that it is mainly the archives of the leading central authorities which are preserved.

German literature has discussed the possibility of judging the value of archives on the grounds of their use or structure¹². These theories, however, do not seem to have received general acceptance. Another interesting attempt at attaining independence from speculative and ideological standpoints has been made by Hans Booms¹³. He recommends that – after fundamental study – records should be preserved which are judged to be valuable by the standards which were contemporary to the origin of the material. One inherent difficulty with this method is that certain phenomenons, such as the effects of environmental

7. Compare with Thornton W. Mitchell, *New Viewpoints on Establishing Permanent Values of State Archives*, *The American Archivist*, 1970: 2, p. 166 ff.

8. Nilsson, *Arkivgallring*, p. 66.

9. Hans Booms, *Gesellschaftsordnung und Überlieferungsbildung. Zur Problematik archivischer Quellenbewertung*, *Archivalische Zeitschrift*, 68, 1972.

10. See, among others, *Grundsätze der Wertermittlung*, Potsdam, 1965.

11. Doljih, *op. cit.*, p. 35.

12. Compare with Nilsson, *Arkivgallring*, p. 68 ff.

13. Compare with the above cited paper (see note 8).

problems, are noticed at a later time or even after the passage of a long period of time (Nils-son).

Several countries, Belgium, Canada, Great Britain, Poland, Hungary and the United States among others, give in their replies examples of the type of criteria they use when appraising records. Great Britain's "A Guide for Departmental Record Officers" contains 13 "guidelines for selection of records for permanent preservation", Canada called attention to its pamphlet "Records Scheduling and disposal", wherein the kind of evaluating standards were listed as administrative, legal, fiscal and "information data value", the latter including records of historical interest. In the United States, the General Records Schedules authorize disposal after the lapse of specified periods of time, of records common to several or all Federal agencies and they provide comprehensive disposition plans for the records they describe. On the other hand, these General Records Schedules also specify certain types of records common to several or all Federal agencies which should be *retained* by the agencies which created them and offered to the National Archives. These schedules are supplemented by records retention plans governing selective retention of records with continuing value for specific agencies. Each plan outlines the types of records which should be preserved. The agency is then required to identify specific files which should be offered to the National Archives. The National Archives state that they no longer initiate records retention plans, but completed plans are still in use. It is, however, promulgating a general schedule for permanent records.

Poland has named the following criteria: a) the general character and social position of the generating agency, b) the continuity and independence of the documents when related to other records, c) the documents' degree of repetition within the administration, d) "historical and regional criteria", e) the outward appearance of the documents, f) condition of preservation. Regarding point a) only between 1 and 2% of the 10,000 or so records-generating agencies produce material of permanent value. Usually, the records of fundamental authorities are only of interest when they originate in regions with historical traditions, great economic significance and the like. Experts in the Soviet Union use similar criteria for the appraisal of records. F. I. Dolgih gives, in his above mentioned congress report, which can be referred to for more detail, the following basic criteria for determining the value of records in the Soviet Union: a) role and importance of the institution in question, b) place of the institution within the state system, c) importance of the functions discharged by the institution, d) independent or subordinate role of the institution, e) importance of an event (phenomenon, subject) in the preparation, holding or investigation of which the institution had taken part.

In this connection, the Federal Republic of Germany announced certain basic doubts about schematically laid rules. Yet it is preparing a catalogue of general regulations to be used in its personnel and local administration and the like (the so-called "fachneutrale Aufgaben"). The Danish reply to the questionnaire noted that such records as personal files, containing information of legal significance (birth, death, marriage, inheritance etc.) ought to be retained.

It seems to be relatively easy to establish a system of criteria for selection, which is derived from the State's political, administrative and judicial functions and its organs of contact with its citizens (personal records, legal records etc.). On the other hand, destruction of the detailed information contained in these records about social, economic, medical and other conditions - the type of material very much needed for modern research - is more difficult to do. It is reasonable to ask whether it is possible to develop a system of criteria for the selection of destructible records, one covering all appraisal problems and laying the foundation for practical solutions. It is manifestly evident, however, that each practical case of appraisal can not be solved by the automatic implementation of a fixed scheme. Moreover, such schematic systems become far too general and sweeping. Therefore, it is often necessary that they should be complemented with more detailed plans, suited to the special character of the archive. The use of such schematic method in Sweden is usually avoided. Therefore, the author lacks the experience of working with them. Instead we have

been employing various other techniques for selection such as type, statistical and geographical sampling.

It is hardly necessary here to point out that not only the information's content, but even its *character* and *form* must be examined. Are the subjects treated in the material of such a nature that they can be the objects of scientific inquiry?¹⁴ Will the material yield itself to scientific methods? Is the material of such reliability that strong conclusions can be made? Is the material extensive enough to make general conclusions? Can it be compared with similar material from other periods of time? And, does it originate from a time when comparative material exists? Another important question is whether the material contains enough relevant information in relation to its size that its retention is reasonable. Hundreds of shelf meters of material can not be preserved if it contains only a small amount of interesting data. Here, however, the dangers of making subjective judgments are great.

6. *The preservation of sample years, records, archives, etc.*

From a technical point of view the easiest form of appraisal implies that all archive material is destroyed immediately or after the lapse of a designed period of time. Often, however, the retention of part of the material is desirable. The spared material can be useful in illustrating office routines, types of errands and so forth. It can also be a question of using the information-content of the material in selective sampling or employing it with relevancy to a certain chosen time, region, group etc. Belgium's reply to the questionnaire pointed out (doubtlessly the opinion of many other countries) that the selection of samples for permanent preservation is the prerequisite for the elimination of the bulk of the material.

It is inevitable that hazardous problems arise when deciding on just which samples to retain. To which end shall the selected samples serve? Which method for sampling best satisfies this purpose? In this and the following of this paper a number of different methods for the selection of samples will be briefly presented. One internationally fixed and accepted method for sampling does not exist. Either the purpose of sampling or its technical aspects could have been treated in this paper. For my purpose, however, the second alternative was chosen. It goes without saying that neither the classifications nor terminology used herein make any claim to being definitive.

Often certain *sample years* are exempt from destruction for example, every tenth year if records are arranged by year¹⁵. Regarding series of individual records or dossiers, every tenth or hundredth is kept as a *sample record* or *sample dossier*. Naturally, records with other physical positions can be retained instead. In Yugoslavia five examples are usually chosen for preservation. In the Soviet Union sample records are often exempted from material which is normally destructable.

It is usual that *sample series* or *sample archives* are kept by one or more authorities chosen from many others with the same functions (regional and local agencies), which destroy corresponding material¹⁶.

At times, the only motivation for exempting a record or series of records from destruction is that their retention gives a picture of the generating authority's administrative routine (USA: procedural samples) or that it helps to illuminate the internal structure of the archive. In series of correspondence or in alphabetically-ordered dossier series, it is possible to select material coming, for example, under the letter A from a certain area or district (USA: categorical samples).

The selection of every tenth year is a primitive but effective method. It is necessary, however, that the authority's functions are not strongly bound to cyclical influences¹⁷. If this method is used in times when momentous events occur, such as, during war, crises, Gov-

14. Nilsson, *Arkivkunskap*, p. 115; Dolgih, *op. cit.*, p. 35 ff.

15. Besides the replies to the questionnaire, the author has used Jan Lindroth, *Gallring med statistiska urval, RA-nytt*, 1975: 2, Stockholm.

16. Lindroth, *op. cit.*, p. 10.

17. Compare Nilsson, *Arkivgallring*, p. 71, and Lindroth, *op. cit.*, p. 11.

ernment changes, reorganizations, etc., then it can cause great damage. Regarding financial material, it is not enough to retain records for only 1935 or 1945, for example. It is often reasonable to make exceptions to the ten year method and keep all of the material for certain periods (for example, during both world wars). The choice of sample years can naturally, as pointed out by Norway, be combined with other methods (for example, regional selection).

7. *The Turnus Method*

This is an often used system of rotation which follows a predesignated plan ("turnus"), by which sample records or archives for different years are kept by agencies with the same functions (regional and local authorities). The records for 1950 are held by agency A, 1951 by agency B, 1952 by agency C and so on. The agencies which remain can dispose of the corresponding material. The system can be refined through the use of statistical methods. It has, however, received the criticism of certain researchers because it does not yield a full possibility for comparing the records of different years, nor does it give a cross section of the whole country when the agencies in question are placed in different areas. Neither should the time intervals be too great.

8. *Regional sampling*

Sample archives and series from different parts of a country can be preserved. Consideration, however, must be given to the differences in population intensity, the degree and structure of industrialization, etc. Whole archives can be retained in special areas (sample areas), while the corresponding material is eliminated in others. The inherent value of this method lies in the fact that it allows the researcher to make a total case study which can clarify in detail the interaction between people and their surroundings. Ethnologists and cultural geographers, among others, in this way can acquire access to the much sought after "individual data", which is usually eliminated. On the other hand, this method has been criticized by certain representatives of the social sciences. They desire the comparison of different regions and are perhaps more satisfied with the sample year method which yields the opportunity for making comparisons on a national scale¹⁸. The selection of a sample area must be made after a careful study of the character of the area (urban, rural, contrasting districts, cultural differences, fertility, industry, regional balance, etc.). There is always the risk, however, that the special character of the selected area may change with the passage of time and become a less attractive object for research. If this happens its selection must be reconsidered. Moreover, if the sample area is too small, then only its permanent population can be studied. Selection of an area with a differentiated settlement, industry and culture is the wisest alternative.

The nature of the archive material is of great importance in the choice of a sample area. One must consider the size and quality of the archives, their retrospective research possibilities, the cartographic material contained in them and even material available in surrounding areas, so that mobility, etc. can be investigated. The choice of a sample area can also depend on what type of material is at hand. In this way, the need to preserve, for example, social dossiers as well as hospital journals, can dictate the choice of sample area.

Of course, all archive material can not be preserved in the sample area. The question of just which material is to be retained and which is to be eliminated can be a difficult problem. Utilization of the regional sampling method, however, when applied to mass series samples, in spite of many inherent problems, is well worth trying.

9. *Statistical random samples*

Space does not allow a discussion of the question of definition surrounding the concept statistical appraisal. The type of sampling meant by the heading, even called probability

18. Nilsson, *ibid.*, p. 74 ff.

sampling, clearly falls under the term statistical appraisal and constitutes a highly advanced theoretical form of it. In principle, the random factor implies that every archival unit (record, dossier, etc.) can be included in the sample which is to be retained. Naturally, the information to be found in the material can not fully conform to the material as a whole. Yet it comes close to doing so. The value of the sample, as seen in the light of the included variables (type of information), can come very close to the value of the material as a whole. Furthermore, one of the outstanding qualities of the method is that the degree of the inherent uncertainty of sampling can be measured. In this way, sampling can be adapted to the different levels of certainty and precision which are desired by researchers. If the demand for quality is relatively low, then the method's flexibility allows it to adapt itself thereafter. The size of the sample is calculated with, for instance, the aid of fixed tables which give the amount of preserved material in the percent and absolute numbers (amount of records, dossiers, etc.) of the total material. Moreover, stratification of the material before selection allows for special aspects and variables which are in danger of being inadequately illuminated.

Appraisal using statistical random sampling is a method which calls for archive material of a special nature. It must be of great quantity, have a high degree of completeness and it must contain many similar archival units ordered in a consistent, discernible and continual way. The practical realization of the method demands considerable expertise.

For these reasons, it follows that the method can only be applied to a few kinds of archive material and, then, only after detailed preliminary investigation. Rather great expectations have been placed on the method from some quarters. Judging from experience (including the replies to the questionnaires), however, the method has been of little practical use. Theoretically, it appears to be very convincing and it is based on high objective grounds. The percentage of retention in favorable instances is held very low. Nevertheless, the high demands placed the material and its preparation, along with the method's sensitivity for mistakes, limit its use.

10. Combined methods of appraisal. Ethical destruction

It is apparent from what has already been said that it is difficult to find appraisal methods which can satisfy the various demands of research. Often these difficulties can, however, be overcome by using combinations of different methods. Sometimes it is reasonable to exempt certain areas from sampling (see above p. 11) and to be content with the use of sample years, etc. (for example, every tenth year) in other parts of the country.

In a number of countries including Great Britain, the Federal Republic of Germany, Finland and Sweden, a discussion about the desirability of destroying sensitive personal information for the protection of individual integrity is in progress. This type of material can contain information about the illnesses, failures, criminal acts, etc., of private individuals. In this connection, it is feared that computerized personal data registers might encroach upon the integrity of the individual. To some extent, ethical destruction is done in Canada, Poland (criminal registers at the end of the period of limitation), Sweden and the United States (in cases where research value is questionable). Yet most countries try to avoid such destruction by applying more or less rigorous secrecy laws.

Because of its inherent nature, ethical destruction is not a part of archival science; it is more often of a purely political character. It is very important, however, that archivists become aware of what is happening and make sure that over-ambitious destruction does not occur at the expense of objective research.

11. Appraisal and destruction of machine-readable records

In the previous section little consideration was paid to machine-readable records. It seems to be an unanimous opinion that, in principle, these types of records should be subjected to the same regulations which govern conventional material. In the United States, records are defined as "all documentary materials, regardless of physical form or charac-

teristics". In practice, however, a certain amount of special treatment for machine-readable records seems to be unavoidable. The information retained by a magnetic type is not completely comparable with that held by conventional records.

In certain countries, such as Belgium, Denmark and France, the question is under consideration. The British, who regard magnetic tape and the like as being governed by the same regulations as conventional material, are now following the routines described in an unpublished pamphlet: "The selection and preparation for transfer of Machine-readable records: a provisional guide". The disposal schedules issued in the United States are also applied to magnetic tapes. The Swedish Government has issued statutes which include special regulations for the destruction of the information which is stored by electromagnetic techniques.

It has often been pointed out that research, and especially research carried out in the social sciences, is in great need of "raw data", which is mechanically readable. Even if substitute conventional records or computer printouts exist, this material ought to be retained. In this way researchers have material which can be immediately processed.

Unfortunately, material for automatic data processing is not very durable. Punched cards and paper tapes are usually not at all durable. Neither are instant access memories useful as archival medias. Presently only magnetic tapes are objects for archival retention. The life-span of magnetic tape depends on a number of factors - physical quality, handling and care. At best, its span of life is usually not longer than between 10 and 20 years. Many computer centers, however, copy their material after a relatively short period of time (1/2 to 2 years). Because of technical developments (new types of computers, etc.), tapes often need to be converted. Although the nature of magnetic tape is such that it makes a poor archival medium, it must be preserved until other methods for the storage of information are developed. If the process of producing data microfilm can be done in reverse - when COM can be optically re-read by the computer (a significant and current obstruction is the low processing speed) - then a better archival media, microfilm, can replace magnetic tapes. The development of laser techniques can mean, not only greater density, but better durability. Moreover, magnetic tape is already on the way to being partially replaced by so-called mass storage memories. Yet in spite of this, magnetic tape will remain an archival problem for a long time to come. Perhaps it can be of interest to briefly outline the Swedish instructions for the destruction of this type of material. (Swedish regulations indicate only *disposable* material; the remainder is kept).

Machine-readable information concerning the current control and accounting relating to personnel, supplies, purchases or funds of the administration shall be destroyed if the following two conditions are met:

1. the information is available at the agency in question in conventional form. (If this is not the case machine-readable records may be destroyed only with the permission of the National Archives);
2. the processed material has served its purpose and is no longer needed for the agency's operation or auditing.

Information which is preserved in machine-readable form and has been compiled from other information shall be destroyed if the original machine-readable record is intact. Destruction shall occur when the time limit ends.

Information which is preserved in machine-readable form and which is a program, technical description or other comparable documentation, and is needed to derive and comprehend other material shall be destroyed if the following two conditions are met:

1. the information which can be derived or understood through the use of the program, technical description or other documentation is eliminated;
2. the program, the technical description or documentation is not needed for other purposes than to derive or comprehend the eliminated material.

In addition to the afore said, machine-readable information containing errors shall be destroyed when the information has been corrected and is no longer needed for auditing or the protection of individual rights.

In addition to these general regulations, the Swedish National Archives issues instructions to be followed by separate authorities.

12. Results and Control

F. I. Dolgih presented an interesting survey of the effect of destruction in his report to the 1972 Congress. The figures which he put forward can be complemented by the ones that were given in the replies to the questionnaire. They are as follows: Great Britain retains an estimated 1-2% of her records; DDR, USSR, USA 1-4%; Canada and France 5-10%; Austria, India, and the Netherlands 10-20%; Finland, Sweden, Switzerland and Ghana 20-30%; Bulgaria and Australia 30-40%; Norway 40-60%; Rumania 50-70%; and Luxemburg 98%.

A distinct difference between the figures for certain countries, in 1972 and 1975, illustrates the difficulties of calculating them in a similar manner. Naturally, it is interesting to study how different countries estimate the effects of destruction. Judging by the figures, the effects are often surprisingly large.

Returning to machine-readable records for a moment, it would appear that the destruction effect is very large throughout. In Sweden, it is calculated that only about 5% of all magnetic tapes are preserved.

The Fine Art of Destruction

BY W. KAYE LAMB

UNTIL recent times the duties of an archivist were essentially those of a guardian and custodian. He took charge of the surviving records of the past and did his best to preserve and safeguard them. The question as to whether they should be preserved, or were worth preserving, rarely arose. By contrast, to destroy records, or to authorize or agree to their destruction, has now become an accepted part of the archivist's responsibility. This represents a fundamental change in his duties, the implications of which are probably not yet fully apparent.

The change springs, of course, from the great physical extent of the records that have been brought into existence in recent years. The problem first became acute in the period of the First World War. Forty years ago, in his classic volume, *A Manual of Archive Administration*, Sir Hilary Jenkinson remarked upon "the increasing tendency to manufacture Archives on a hopelessly gigantic scale". He lived to see the records created during the Great War shrink into relative insignificance in comparison with the prodigious bulk of those produced since 1939. To this bulk the ordinary peacetime activities of governments had come to contribute as much as the extraordinary activities of war. In Canada, for example, the expansion in both the scale and the variety of the functions of government has been startling. One example will suffice to illustrate what has happened. In the days of Sir John Macdonald and the other Founding Fathers of the Dominion, the only record kept by the Government that related directly to any great number of individuals was the census; and the census, taken once in ten years, consisted of simple and compact entries, each of them limited to a few lines. An entire census occupied perhaps a hundred feet of shelving. To-day, thanks to such things as income taxes, unemployment insurance, family allowances and old age pensions, the Government of Canada must maintain millions of files relating to individual citizens.

The sheer bulk of modern records makes destruction inescapable. The extent and cost of storage space in which to retain them all would be prohibitive. The difficulty is to decide wisely and well what shall be destroyed and what shall be retained. At the extremes are groups of documents about which no question need arise. It is obvious that great numbers of papers become superfluous after a time—sometimes after a very short time—and that there would be no justification for keeping them, even if it were feasible to do so. It is equally obvious that other papers belong to categories that must be retained permanently. But between these two extremes one finds a great mass of material,

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the interest and long-range value of which is a matter of opinion, and it is here that the most difficult decisions with regard to the destruction of records must be made.

The great extent of modern records, and the necessity of destroying many of them, have given rise to the new profession of records management. The basic purpose of the records manager is to reduce volume. This he seeks to accomplish in two ways. First, he tries, by more careful planning and supervision, to reduce the number of records that are brought into existence. Secondly, he seeks so to arrange matters that records of temporary value are weeded out and discarded as promptly as possible. His aim is to see that an absolute minimum of material is retained permanently.

One of the chief means of weeding out material is by scheduling, the plan whereby a retention period—short or long, as the material may warrant—is assigned to each category of documents. This is assumed frequently to be a relatively new discovery, but, except for the term itself—scheduling—it is interesting to note how precisely Jenkinson foreshadowed this device forty years ago. "... It is even conceivable," he wrote, "that an office might work out for itself a system of graded periods of preservation applying to specified classes of documents"; and he went on to refer to "Destruction Books" and a "Destructions Diary" that would be a record of these periods, and of the dates when they expired and destruction would follow. He pointed out further that there would likely be some files about which a decision could not be made immediately. These he proposed to handle by "appointing dates not necessarily for destruction but for reconsideration, which will take place in the same regular manner"—a clear anticipation of the "indefinite retention" category that is much used to-day by records managers.

But Sir Hilary did not quite anticipate the records manager; he felt that the departments of government themselves should be the prime destroyers of records. Ideally, he envisaged in each of them two things: a central registry, presided over by a highly competent official who would exercise rigid control over the creation of records, as well as the filing and care of them; and departmental administrators who would see to it that permanent files were limited to a summary of every significant past transaction, and a record of the action taken with regard to it.

The difficulty is that this ideal state of affairs rarely if ever exists. In Canada, at least, central registries are sometimes staffed with relatively junior clerks who do their best, but who cannot rise to anything approaching the level that Sir Hilary contemplated. As a result, it is not always possible to trust departments to handle their files as they should, and to have registry staffs who can distinguish unerringly between ephemeral material and significant papers of permanent interest and value. Under pressure to reduce the bulk of records, both they and the records managers alike can develop a zeal for destruction that blinds them to the necessity of giving due consideration to other factors that it is important to keep in mind when the final disposition of files is being decided.

Jenkinson was loath to see the archivist play any active part in the destruction of records. He hoped that he might somehow continue to be essentially a custodian—the competent, careful guardian of whatever records good luck and good management preserved and placed in his keeping. He was above all anxious to prevent the element of personal judgement from entering the picture, and if the question as to whether papers should or should not be destroyed were left to the archivist, he felt that personal judgement would inevitably influence the decision. For the same reason, and perhaps to a greater degree, Jenkinson distrusted the historian. Historians had prejudices; they had special interests in certain personalities and periods; they could not be counted upon to have the detached point of view that seemed so essential.

To some extent, depending upon the individuals that happen to be involved, all this may be true; but surely the peril is exaggerated. And is it not equally likely that Jenkinson tended to place too much trust in the sagacity of departmental administrators?

By and large it is true, no doubt, that a department's own administrators—provided they will take the trouble—can best decide whether old files are likely to have any further practical usefulness from the department's point of view, and whether they form an important part of the department's record of its own operations. But these are by no means the only factors that should be taken into account when the destruction of records is under consideration. Every archivist knows that documents may prove useful and valuable for a wide variety of purposes that may have little or no relationship to the purpose for which they were brought into existence. And for this very reason the officials of the department that created them may be very poor judges of their long-term value.

Any number of examples could be given to illustrate the way in which records—both public and private—have been found useful for purposes that were never contemplated when they were coming into existence. After the Revolutionary War, when the United Empire Loyalists migrated from the United States to Canada, they submitted petitions for grants of land in which, amongst other things, they usually gave some account of themselves and their families, and of the properties they had lost because of their support of the British cause. To-day their petitions are a happy hunting ground for genealogists and social scientists. Few records would appear at first sight to be less interesting than old remission files, most of them relating to offenders long since dead; but to the student of government they offer a fascinating record of the way in which successive Governors-General of Canada exercised, or failed to exercise, their prerogative. And to cite a more modern example: early in the Second World War a national registration scheme placed on record certain information about every resident of Canada. Twenty years later the registration cards are providing a rough and ready means to provide proof of age for persons seeking old age pensions who cannot establish their date of birth in any other way.

An example or two will illustrate how private papers, like public records,

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may be useful for purposes quite unforeseen when they were first created and used. A small century-old note-book containing details of the furs traded over a twenty-year period at all the posts of the Hudson's Bay Company in what is now British Columbia told much more than it appeared to do at first sight. For when the tables were analyzed, it became apparent that they reflected in great detail the cycle—years of abundance followed by years of scarcity—that is characteristic of wild animal life. They thus furnished data of great practical importance to a zoologist. And the same zoologist mourned the loss of a long file of log-books that had been thrown out as useless by a shipping company. It so happened that the logs, which recorded sea temperatures in certain coastal areas at fairly regular intervals over a period of half a century, would have provided data of importance both to the scientist and the fishing industry.

Archival collections are rich in documents that have all sorts of unexpected values of this kind, and it is my contention that, by and large, the archivist is the person most likely to perceive them, or to suspect their existence. It is his business to take the long-term view. And his day-by-day experience in helping those engaged in research should give him a background against which to judge the possible usefulness of material that someone is proposing to discard.

Perhaps some day, when all the old accumulations of records have been cleared out, and both the creation and destruction of files is under perfect control, the contribution that the archivist can make may be less important than it is to-day. But for the time being, his watchfulness can be of the greatest importance. Far too frequently records have to be dealt with in an atmosphere of semi-crisis; and the sequence of events within a department that is faced with a large-scale disposal problem is likely to be somewhat as follows. Quite suddenly, space in which to store records is found to be at a premium. As additional space is not readily available, the department decides that it must clear out its older records. Soon all concerned are busily engaged in getting rid of files, and, with space a major consideration, destruction is apt to become the chief end in view. In other words, the fewer the papers that are kept the better. Only later, when the immediate pressure exercised by the space problem has disappeared, does the department indulge in some careful thinking about its records problems. The desirability some of systematic approach to the discarding of material will soon become apparent, the scheduling of records will follow, and in its wake may come some measures to prevent the creation of files that are clearly unnecessary.

At this point the archivist may, perhaps, begin to relax; but while the sequence of events just outlined is in progress, he is likely to be the only person available who is sufficiently detached from purely practical considerations too be able to look at the questions involved from a long-term point of view. And even when schedules are in force and records seem to be well looked after, the archivist must continue to be on the alert, to make it as certain as possible that adequate provision is made for second thoughts, and that "Destruction Diaries" take fully into account the possibility that files may have values that have little

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or no connection with the purposes for which they were originally created.

Experience in Canada suggests that two things must be provided before the disposal of dead and dormant records can be handled satisfactorily from the long-term or archival point of view. The first is an adequate review procedure, which will inform the archivist, and any other officials who may be interested, whenever it is proposed to destroy records, and will give them an opportunity to present their points of view. The second is adequate storage space, preferably under the control of the archives, to which records can be moved, if need be, until proper consideration can be given to their future. Such storage space helps to prevent too hasty action, and gives time for second thoughts.

The Canadian review procedure is provided through the Public Records Committee, established by order-in-council in September 1945. The Secretary of State was named Chairman, but from the first the Committee's affairs were managed largely by the Dominion Archivist, who was Vice-Chairman. About a dozen departments, who for one reason or another are specially concerned with records or records management (Public Works, Treasury, National Defence, External Affairs, and so on) are represented by permanent committee members. Other departments are represented whenever a matter of direct concern to them is under discussion. The Committee was directed "to keep under constant review the state of the public records and to consider, advise and concert with all departments and agencies of the government . . . on the organization, care, housing and destruction of public records".

The routine that has grown up during the past fifteen years provides in effect a four-fold scrutiny of all records that it is proposed to destroy. There is, first of all, the scrutiny of the department in which the files have originated, and which has come to the conclusion that, so far as its own purposes are concerned, the papers have outlived their usefulness. From the department the Committee receives a submission describing the character and extent of the records in question. Frequently a schedule is included, suggesting the periods for which similar material should be retained in future. Whatever its terms, the submission is referred to the Public Archives, which proceeds to examine it, and if need be the records it describes, in an attempt to judge the long-term value of the files for historical and other research purposes. The Archives will also review the destruction schedule, if one is included, to make sure that nothing is listed for automatic destruction that the archivist feels should be examined before it is discarded. If both the department and the Archives agree that the files need not be retained, a report to this effect is submitted to the Public Records Committee. If the Committee approves the report, a copy is sent to the Treasury Board, with the recommendation that the department be given authority to destroy the records in question. Before issuing this authority, the Treasury Board, in consultation with the Auditor General, will subject the proposal to two further scrutinies, in order to be certain that there is no legal or financial reason why the material should be retained.

This four-fold scrutiny—departmental, archival, legal and financial—offers

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reasonable safeguards against the destruction of valuable files, and in practice it seems to be accomplishing this satisfactorily. Here and there, behind the scenes, some unauthorized destruction of files no doubt still takes place, but few files of any consequence probably perish in this way.

In 1959 the Committee felt that it was desirable to review the state of the public records in some detail, and a Records Management Survey Committee appointed at that time submitted its report in February 1960. Amongst other things it recommended that the position of the Public Records Committee should be clarified in some respects, and its authority strengthened. Most of the changes suggested were made effective by a new order-in-council that reconstituted the Committee early in 1961. This authorized the Committee to advise departments and agencies with regard to their records—which means in effect that the Committee can encourage and help departments to adopt disposal schedules, and in other ways improve their records management practices—and in addition the order clarified some doubts that had arisen regarding the Committee's power to forbid destruction. "There shall be no destruction of records," section 10 of the new order reads, "other than excess copies, without approval of the Committee and the Treasury Board."

It is worth noting that the Public Archives has always enjoyed a virtual right of veto within the Public Records Committee. It has always tried to be both prompt and reasonable in its consideration of proposals for the destruction of records, and we feel that it has been well rewarded by the confidence that the Committee has shown in its judgements. No application for authority to destroy records has ever been approved by the Committee unless it had been agreed to previously by the Archives. In this connection, it may be noted that when the Committee was reconstituted in 1961 the Dominion Archivist was named Chairman, in place of the Secretary of State, and the representative of the Treasury Board became Vice-Chairman.

What I regard as the second essential for the orderly disposition of official files was provided in Canada in 1956, with the completion of the Public Archives Records Centre. This building, which ultimately will accommodate over 300,000 cubic feet of records, has been of inestimable value both to the Archives and to the many departments and agencies of the Government that have made use of it. Departments, desperate for storage space, have been able to transfer large quantities of records to the Centre without delay or undue expense, and this has provided a breathing spell during which their value could be considered at relative leisure. Inevitably, some departments have ceased to worry greatly about old files, once the care of them had become someone else's responsibility; but there are ways and means of seeing that necessary decisions are not too long delayed.

It is obvious, of course, that we are still only in the early stages of a records programme that must eventually provide for orderly transfers and destruction in every branch of government. The Survey Committee appointed in 1959 discovered that in the city of Ottawa alone there were at least 2,500,000

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cubic feet of records in the possession of departments and agencies. About 1,000,000 cubic feet were classified as "dead" or "dormant", and the Committee suspects that large quantities of so-called "active" files should in fact be placed in the "dead" and "dormant" categories. Obviously a vast disposal programme must be undertaken before the files can be reduced to those items having current usefulness or long-term value. But the principles which should govern the programme have been worked out, and the scale upon which the government's records problems are being attacked grows steadily.

In all this the archivist is deeply involved, and this I feel to be both inevitable and desirable. Hidden away in the great mass of a government's current files are the archives of the future. Departments can themselves segregate some of the material that should be retained permanently, but only the archivist and his staff and advisers can judge the long-term value of many items. To exercise that judgement intelligently, reasonably, and with common sense, will tax anyone's time, knowledge and patience to the limit. But the importance of doing one's best is vital, for the quality of the archives collection of the future will depend in part upon it.

Modern records retirement and appraisal practice¹

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The retirement of records of government agencies is inevitable once they have become non-current.

The multi-stage procedure for planned retirement, which has evolved during the past generation, typically consists of: (a) the preparation of inventories or surveys of all of the extant records of each public agency; (b) the analysis of the agency inventory from the retirement viewpoint; (c) the preparation, on the basis of such analysis, of retirement instruments; (d) the appraisal, on the basis of objective criteria of records value, of specific proposals, and (e) the implementation of the provisions of the retirement instruments.

The author stresses the need for regular planned records retirement in the Third World.

This paper is concerned with a crucial transitional stage in the life cycle of records, the stage during which records created or accumulated by an agency of government,³ are judged to be non-current and removed from active use by their creators and, in collaboration with concerned archivists, are 'retired'; i.e. after a series of processes culminating in their evaluation or appraisal, the records are either transferred to an archival institution for permanent retention there as archives, or are destroyed. This retirement stage is a transitional one, too, in the sense that it forms a bridge between the functions and activities of current 'records management', which take place primarily within the agencies of origin, and those of 'archives administration', which occur primarily in the archival institution.

Retirement of records as they become non-current is inevitable. The only alternative is between unplanned chaotic retirement on the one hand and considered systematic retirement on the other in which retirement decisions are made on the basis of record values.

Unplanned retirement, unfortunately, is very widespread. It usually consists, initially, in the relegation of non-current records to out-of-the way space in cupboards, corridors, attics, cellars, and the like, in order to free office space for the latest current records. Then, when there is no remaining spare space even in the attics and cellars, and yet more space is required in the operating offices for new records and staff, the agency authorities often decide to destroy a greater or lesser part of the older records, usually on an arbitrary basis. The tendency toward this kind of thoughtless destruction has been greatly exacerbated by the typically greatly increased rates of records production in recent decades.

Wanton destruction of this nature not only deprives the archives of documentation having permanent archival value, but also deprives the agency itself of materials it may well need in the future as evidence of the evolution of its own past organization, policies, programmes and operations, and for background and precedential use in developing new programmes.

The only antidote to this kind of irrational retirement is a rational retirement process where thought is given to the future needs of the agency and the archival institution alike in so far as non-current records are concerned. During the past twenty-five to thirty-five years, beginning in the United States, experience has evolved a multi-stage retirement procedure that tends to ensure that all parties involved—particularly the agencies and the archives—know what they are doing and achieve the result they wish; that is, the elimination sooner or later of all non-current public records, except the small valuable core that merits permanent retention at the archives, while at the same time maintaining in existence the ultimately disposable records that have no archival potential as long as they are needed by the agency of origin, other agencies, and the public.

That multi-stage retirement process consists of (a) the preparation of inventories or surveys of all the extant records of each agency;⁴ (b) the analysis of the agency inventory or survey from the retirement viewpoint;⁴ (c) the preparation of retirement instruments of various kinds proposing and controlling the ultimate disposition (i.e. actions taken with respect to retirement) of the agency's records;⁴ (d) the careful appraisal of the specific retirement proposals made in the retirement instruments—i.e. their review and their approval or disapproval, on the basis of objective criteria of value;⁴ and (e) the implementation of the provisions of the approved retirement instruments in accordance with the applicable appraisal decisions.⁴

Closely related to the retirement process is the relatively new device of the intermediate records centre, which gives all concerned in the process the time to carry it out in a considered manner by eliminating, as a key factor, the essentially irrelevant pressure of lack of space at the agency of origin or at the archives. It is the centre's primary function to provide temporary storage space for non-current records that is considerably less expensive than that at the agency of origin or at the archives. Thus non-current records may be maintained there economically until the provisions of the applicable retirement instruments become effective and the covered records may either be transferred to the archival institution or destroyed.

Inventories or surveys

The first step in the retirement process requires that descriptive information be gathered by the agency of origin concerning all of the records in its custody, i.e. all of the records that will eventually be subject to retirement.

To establish this factual foundation for retirement action, it is standard practice for the official responsible for records in each agency (usually called the 'records manager' or some variant thereof) to make, and to keep up to date, a comprehensive inventory of all of the current records maintained in his agency—at every hierarchical, i.e. organizational, level (bureau, division, branch, section, unit, etc.)—as well as all non-current records kept in either accessible or inaccessible storage.

It is the 'series' which is typically used as the unit of description in the inventory and in the later phases of the retirement process. In archival terms a series may be defined as a body of records, of greater or lesser quantity, whose constituent documents or groups of documents are closely interconnected in some manner, such as by a common pattern of organization, or by a common subject to which they all relate, or by a common physical format, or by any other common characteristic or characteristics that link them together into a distinctive whole. Usually the documentation comprising a series is arranged in accordance with a

particular classification or other filing scheme, e.g. a decimal scheme, an alphabetical scheme, a numeric scheme, an alphanumeric scheme, a chronological scheme, or some more or less complex variation of any of these.

For each series in agency custody the inventory should provide the following minimal information: (a) the name of the custodial agency and of the organizational subdivision of that agency which created and has physical possession of the series; (b) a short descriptive title of the series; (c) the types of documents of which the series primarily consists (e.g. correspondence, reports, minutes, etc.); (d) the main subject or subjects to which it relates; (e) the inclusive dates of the period during which it accumulated (the beginning date only in the case of a current series); (f) its size in terms of linear feet or metres or fractions thereof (plus the estimated rate of annual accumulation for a still growing series); (g) a brief indication of its pattern of arrangement; and (h) an estimate, if it is a current series, of when it is likely to become non-current and therefore retireable.

The usual way for the records manager to gather the above information is by means of a questionnaire form which is filled out separately for each series in custody. This is customarily done either by the records manager (or one of his staff) or by personnel in the custodial office concerned.

Analysis

Upon completion of the agency inventory or survey the next stage consists in its analysis by the records manager and his staff in order to determine, from the agency standpoint, the appropriate retirement action to be proposed to the archival authorities for each of the series covered by the inventory. Possible retirement actions include immediate disposal (i.e. destruction), disposal after a specified interval of time or upon the occurrence of a specified future event, disposal upon microfilming with permanent retention of the microfilm copy, or permanent retention of the original records in an archival institution.

Retirement instruments

Retirement actions are proposed to the archival authorities by the agencies of origin, and their execution (if approved) is controlled, by means of a variety of retirement instruments. Among them are: the disposal list, the simple disposal schedule, the comprehensive schedule, the general schedule, and the transfer or accession offer to the archival institution.⁷ Each of these will now be defined in turn:

The 'disposal list' is a form serving as an application to dispose at once of an existing, specifically described body or bodies of records, usually one or more series. When approved by the appraisal officials at the concerned archival institution, it provides one-time authorization to dispose of the records covered by it.

Because the disposal list was inefficient, i.e. because repeated resubmission of identical lists was necessary to dispose of recurring records, the 'disposal schedule' was developed. This instrument, when approved by the appraiser, authorizes, on a continuing basis, the destruction of recurring or continuing records, usually one or more series, after the lapse of a specified time period or upon the occurrence of a specified future event. Unlike the list, which is now rarely used, the schedule is still a viable instrument; its principal shortcoming is the fact that it provides only partial, usually very limited, coverage of the total records of the creating agency.

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To remedy the latter deficiency two basic variants of the original simple disposal schedule have been developed: the 'comprehensive schedule' and the 'general schedule'.

The 'comprehensive schedule' covers all of the records relating to substantive matters of a relatively small ministry, department, or other agency, or all of such records of a major organizational subdivision of a large agency—bureau, division, branch, etc. What it does is to propose precisely, series by series, the disposition (i.e. the retirement arrangements), whether by permanent retention in the archives or by ultimate disposal, to be made of the records of the agency or agency subdivision involved. In other words the comprehensive schedule proposes an overall records retirement programme for the covered agency, although customarily it applies only to the latter's substantive records, leaving strictly administrative or 'housekeeping' records to be controlled by the general schedules which will be considered next.

The 'general records schedule' is a retirement instrument that governs the disposition of specified recurring classes of records common to several or all agencies—records that are mostly of an administrative/'housekeeping' nature, such as those relating to personnel, budgeting, procurement and supplies, transportation, etc. Because they apply to records to be found in many or all agencies, the general schedules are prepared by the central archival institution on behalf of all agencies rather than by any one of them. The general schedules constitute a highly valuable retirement instrument because the great bulk—in sheer quantity—of records created by government agencies are covered by them. The use of a relatively small number of general schedules—each concerned with a main class of administrative/'housekeeping' records—has enormously simplified retirement practices in the United States Government.

It should be noted that the general schedules are similar to the comprehensive schedules in that they both provide for retirement by archival retention as well as disposal action. The major difference is that the general schedules cut horizontally across all agencies by class of administrative records covered, while comprehensive schedules apply vertically to the substantive records of individual agencies. Indeed the two types of schedules are complementary in nature, having, between them, the potential of completely regulating agency records retirement programmes.

Another major retirement instrument allied to the comprehensive schedule and the general schedule is the offer to transfer records to the archival institution, often called the 'accession offer'. Such offers are made when the offering agency considers the records involved to have permanent archival value. Ideally they should each cover only one or more series, previously included in a comprehensive schedule, which have been adjudged as 'accessionable', i.e. as having permanent value in the view of the archival appraiser. However, records are often offered for transfer before the agency's comprehensive schedule has been prepared, in which case any particular offer may well be rejected by the archives, when appraised, on the ground that it lacks permanent value.

It should be emphasized that, of the several retirement instruments that we have been discussing—the disposal list, the simple disposal schedule, the comprehensive schedule, the general schedule, and the accession offer—all but the general schedule are proposals for disposition submitted by the agencies that originated the records to the archival institution for its approval. This power of decision over disposition action is typically reserved to the archives in modern legislation governing the administration of public records because it is necessarily a fundamental responsibility of the public archival institution to determine

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which public records are valuable enough to merit permanent preservation in its custody. Prior archival approval of agency implementation of general schedules is unnecessary, however, because—by their very nature—they are developed by the archival institution itself.

Appraisal

The process by means of which the archival institution reviews the retirement instruments submitted to it by the agencies of origin and decides whether to approve or disapprove them in each case is termed the 'appraisal' process, and the specialist archivists who are responsible for this work are called 'appraisers'. Basically what the appraiser does is to determine whether the records covered by the retirement instruments are sufficiently valuable to be transferred to and retained permanently in the custody of the archival institution or, because they lack permanent value, to authorize their destruction after a greater or lesser period of time.

Determination of archival value is an act of judgement and therefore necessarily more or less subjective. But it is possible to minimize such subjectivity by defining the objectives and criteria of appraisal, i.e. by setting forth standards of value in terms of which the appraiser makes his judgements. It should be stressed that the appraiser is not concerned with 'primary values', those of the records for the originating agency in connection with the implementation of its basic functions, but rather with 'secondary values', the residual values the records may possess once they have become non-current. These secondary values fall into the following principal categories:^a

- (a) Continuing administrative, legal, and/or financial values for the agency of origin and/or other agencies even after the records have lost their primary value for current operations.
- (b) Values that records may possess which serve to protect the civic, legal, property and other rights of individual citizens or the public at large—the 'individual rights' values.
- (c) 'Evidentiary' or 'functional documentation' values—i.e. those reflecting the historical evolution of the creating agency in terms of its powers and functions as established by law or other regulation, its organizational structure, its programmes, policies, procedures, decisions and significant operations. Key records having such values are needed over the long term as evidence of the agency's stewardship of the powers and responsibilities officially assigned to it. Moreover, by exploiting the experience embodied in these records, future officials whose work lies in the same areas of responsibility may benefit from both the successes and failures of their predecessors. Basically records of this kind help to give continuity and consistency to the actions of the creating agency over time.
- (d) Informational values, i.e. those contributing substantially to research and scholarship in any field of knowledge. The appraisal process here weighs the potential research values of records for the historian, political scientist, economist, sociologist, geographer, statistician—indeed for social and physical scientists and students of the humanities in every discipline.

Determination, either positively or negatively, of archival values under categories (a), (b) and (c) above is relatively easy in view of the specificity and concreteness of the questions that the appraiser must raise concerning these categories. However the competent appraisal of records for their informational values, i.e. category (d)—requires knowledge, on the part of the appraisers, of

the subject-matter fields involved in the respective bodies of records under appraisal. In this connection, since no appraiser can be universally knowledgeable, each must specialize in a broad subject-matter field (such as foreign affairs, military affairs, industry, commerce, agriculture, labour, etc.), and in that field have a basic professional knowledge of research methodology, needs and trends as well as a substantive expertise in its particular subject-matter—all of this so that he may be capable of evaluating a body of records under review from the standpoint of its likely utility for research in the field in the foreseeable future. Moreover, in making his judgement the appraiser must take into account the existence of other relevant documentation, published as well as unpublished, and consider whether the possible informational value of the records under appraisal is not otherwise available. Above all, he must base his conclusions not on unsupported intuition or supposition, but on a thoroughgoing logical analysis of all relevant data bearing on the case. Inevitably, since it would be impossible for the typical archival institution to have on its staff a full complement of specialists in all fields of research, however broadly conceived, it will be necessary, particularly in borderline cases, for appraisers to consult outside experts, usually from the academic world.

We have discussed the four main criteria employed by appraiser-archivists to test the value of records referred to them. Records meeting one or more of these standards of value are considered accessionable by the archival institution; those which do not meet any of the standards are considered disposable. The appraiser typically incorporates his conclusions in an appraisal report on each retirement instrument—list, schedule or accession offer—submitted by the agencies of origin, a report which takes specific account of each constituent item therein. After the appraisal report has been reviewed by higher authority within the archival institution—usually by its director—it is returned to the submitting agency for implementation.

Clearly appraisal is not an easy task; indeed it is probably the most demanding of all of the professional responsibilities of the archivist. The considerable effort involved, however, is fully justified by the importance of the appraisal phase of the retirement process. It is the key phase by virtue of the fact that appraisal decisions irrevocably determine the content of the archives to be preserved permanently and therefore the nature of the sources available for use in the future by government, the research community and the public generally.

Implementation

Generally speaking it is the agencies of origin that execute the retirement instruments in accordance with the appraisal decisions made by the archival institutions. There is only one significant exception: where the covered records have been deposited in an intermediate records centre⁹ by the agency of origin, it is the former which has the responsibility for implementation, acting, however, with the full knowledge of the latter.

In either case implementation takes two basic forms depending on the provisions of the retirement instrument as approved: (a) physical transfer to the archives of the originals or of high-quality microcopies of records adjudged permanently valuable, in accordance with a timetable agreed upon by the parties; and (b) disposal of records adjudged insufficiently valuable to warrant permanent preservation, such disposal to be carried out by the custodian—agency of origin or records centre—in strict conformity with the specific disposal instructions approved by the archives for each item in the retirement instrument.

Disposal instructions vary, but generally provide for either (a) immediate destruction of the originals and/or of microcopies of already accumulated records; or (b) regular destruction of the originals and/or of microcopies of records that are continuing to accumulate, upon the expiration of a stated 'retention period'—the latter defined as a given interval after creation, or the occurrence of a specific event after creation, or a combination of the two. Actual physical disposal may be accomplished by burning or shredding of the records if their content is security-classified or otherwise restricted; or, if not so restricted, by sale as waste for recycling.

To help ensure that agencies actually execute approved retirement instruments—this is mandatory under United States federal statute—reports on their implementation actions, citing the specific instruments involved, should regularly be submitted to the archival institution.

Two other subjects must now be considered as addenda to the above discussion of the main retirement process: (a) sampling and (b) the intermediate records centre.

Sampling

The need for sampling occurs when a very large body of records is judged to be permanently valuable by the appraiser, but is so large that it is necessary, in the interest of spatial and financial economy, to compromise between that value determination and the reality of excessive quantity. In such a case the technique of sampling may be employed—i.e. the selection for transfer to the archives of a part, rather than the whole body, of the records involved.

The sample is selected in accordance with a purpose-designed sampling scheme, usually formulated by the appraiser in collaboration with the agency of origin, that is intended to preserve, in microcosm, the essential values of the records in question. It may be a 'representative sample' that truly reflects the overall informational content of the whole, or it may be a 'skewed sample', so devised as to select out those informational elements in the whole that are considered to have permanent value and to eliminate all others.

As a device to reduce, under the special circumstances described above, the quantity of permanently valuable records taken into archival custody, the sampling technique is most useful.

Intermediate records centres

Though not actually part of the retirement process, the intermediate records centre is an invaluable adjunct facility closely associated with that process. The concept of the centre originated in the United States during the Second World War with the federal agency warehouses established to store in inexpensive space agency records referred to only occasionally. In the years after the war, with legislative assistance, the individual agency warehouses were transformed into a nation-wide network of records centres centralized under the control of, and closely associated with, the United States National Archives.*

* For its history and historical evolution see D. R. McCoy, *The National Archives: America's Ministry of Documents*. See also *Directory of Archives and Manuscript Repositories*. Both publications were issued in 1978 by the Society of American Archivists, Chicago, Ill.

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The intermediate records centre facilitates the retirement process in several ways.

First, the centre freely accepts transfers of records from the agencies of origin without any change in their legal status. Since the ownership of the records remains with the agencies of origin, the paperwork involved in the physical transfer is minimal. At the agencies' request records so transferred are serviced by centre personnel and lent back to the agencies without delay. All three of these factors—the maintenance of the original legal status as well as ease of transfer and rapidity of servicing—combine to encourage large-scale use by the agencies of low-cost centre space for the storage of their non-current records.

Second, the centre implements all retirement instruments currently in force which relate to records among its holdings. These instruments are applied by the centre just as they would be by the agency of origin if the records had remained there. Thus the centre regularly disposes of records scheduled for disposal in accordance with the appraisal decisions of the archival authorities. On the other hand it serves as a temporary holding area for records designated as permanently valuable in approved comprehensive and other schedules, i.e. it temporarily stores such records until the archival institution is ready to receive them.

Third, the centre itself prepares retirement instruments, particularly simple disposal schedules and transfer offers, for records not already controlled by such instruments upon arrival at the centre, and submits them—after obtaining the assent of the concerned agencies—to the archival institution for appraisal. For its part the archival institution regularly reviews the holdings of the centre to determine whether they include any unscheduled records worthy of transfer to the archives for permanent retention. Such records, after appraisal, are accessioned by the archives.

In its intermediate position between the agency of origin and the archival institution, the records centre carries out its essential function of providing temporary storage space that is considerably less expensive, and more extensive, than that available at either agency or archives. The existence of such space—access to which is ordinarily easy to obtain—obviates, on the one hand, the danger that agencies would destroy records, regardless of their values, merely in order to clear needed space in their own premises, and, on the other, that, for the same reason, records of dubious value would be forced on the archives by the agencies. Basically the space resources of the records centre make it possible for the retirement process to proceed in a rational, carefully planned manner as the product of a close agency-archives collaboration.

Several concluding points remain to be made about the records retirement process in general.

First, it must be carried out regularly, systematically, and continuously, either in accordance with procedures like those described in this paper or in any other rationally conceived and designed manner. Such regular, systematic and continuous—indeed, orderly—retirement is indispensable if the archival institution, particularly the national archival institution, is to transcend the limited status of an historical archives and to successfully perform the task it has been established to perform on behalf of the government it serves, the general public and the scholarly community—that task being to insure, over the long term, the preservation and use, under its knowledgeable professional control, of the small permanently valuable nucleus of the vast mass of records constantly being created by the government as a whole, and the efficient elimination of the valueless remainder.

Second, these considerations apply with particular force to the developing countries, where, despite several exceptions, there is typically no regular retirement of records created or otherwise accumulated in the government ministries

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after they have become non-current. Instead, for the most part, these records remain in ministerial custody, often under the conditions and subject to the dangers described in the second, third, and fourth paragraphs of this article. Moreover, over time this situation has been, and continues to be, exacerbated by the gradual increase in most countries of the number and size of the ministries in direct proportion to the increasing complexity of governmental responsibilities. As a result, in the majority of the countries of the Third World, the ministerial agencies of origin on the one hand and the national archival institutions on the other are equally seriously handicapped in the performance of their essential functions by non-existent or defective records retirement systems.

Third, the solution to the problem lies in the realization by the appropriate authorities of developing nations of the need for, and the consequent adoption of, retirement programmes such as that outlined in this article, or its analogue. Beyond that, and indissolubly linked with it, is the need to train competent records retirement staff to operate the programme. Such personnel must be developed at two levels: records managers for the agencies of origin and archivists specializing in retirement and appraisal for the archival institutions. Opportunities for the required training already exist in developed countries and to a more limited extent in the several regional professional training centres and national training centres with a regional vocation now operating in the Third World.¹⁰ In addition, there is an increasing prospect for the provision of such training on an *ad hoc* basis by means of seminars in records management¹¹ promoted and sponsored by concerned intergovernmental and non-governmental bodies like Unesco and the International Council on Archives (ICA). Only with mounting official awareness of the urgent need for systematic records retirement and the gradual growth of trained retirement staff will it be possible to cope realistically with the present Third World crisis in this sphere.¹²

Notes

1. In recent years the author has given a course of lectures—dealing with the subject of this paper in greater depth and detail—to groups in the United Republic of Tanzania and in Argentina representative of their regions: respectively to (a) the Seminar on Records Management and Retirement held at Arusha, United Republic of Tanzania, in October–November 1976 under the auspices of ECARBICA (East and Central African Branch, International Council on Archives) with the organisational and financial support of the German Foundation for International Development, and (b) the student body and interested faculty members of the Centro Interamericano de Formación de Archiveros—the Latin-American regional archival training centre supported by the Organization of American States at the University of Córdoba, Argentina—in August–September 1977. The paper itself was read at the April 1978 General Conference of ECARBICA in Khartoum, Sudan.
2. The author, a member of the staff of the U.S. National Archives and Records Service, 1941–72, and Deputy Secretary-General of the International Council on Archives, 1968–76, serves currently as Counsellor to the ICA President and Chairman of the ICA Committee on Archival Development.
3. We will here focus entirely on public records.
4. By the agency of origin.
5. By the agency of origin and/or the intermediate records centre (the latter to be discussed below).
6. By the archival institution.
7. These are the principal retirement instruments used by the U.S. Federal Government. Obviously the precise instruments will vary from country to country, but in every case they should be so designed as to carry out effectively their essential purpose: that of proposing and controlling specific retirement action.
8. For a fuller discussion see: Morris Rieger, 'The Appraisal of Records for Potential Research Values', *Southeast Asian Archives*, Vol. 9, July 1976, p. 135–8; T. R. Schellenberg, *Modern Archives: Principles and Techniques*, p. 139–160, Chicago, Ill., 1956; 'The Appraisal of Modern Public Records', *U.S. National Archives and Records Service, Bulletin No. 8*, Washington, D.C., 1956; U.S. National Archives, 'Disposition of Federal Records: How to Develop an Effective Program for the Preservation and Disposal of Federal Records', *Publication*, Nos. 30–3, Washington, D.C., 1949.

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9. To be discussed below.
10. See: Morris Rieger, 'Archives in Developing Countries: The Regional Training Center Movement', *American Archivist*, Vol. 35, April 1972, p. 163-71; 'Archivarausbildung für die Englischsprachenden Länder des Tropischen Afrika: Entwurf eines Curriculums für das Geplante Regional-Centrum in Accra', *Der Archivar*, Vol. 26, May 1973, p. 219-24.
11. Often the term 'records management'—which, in addition to records retirement, has a broader meaning involving the creation, maintenance, retrieval and use of current records—is employed as if it were synonymous with 'records retirement'.
12. See also *Planning of Archival Development in the Third World. Proceedings of the General Conference, Dakar, 28-31 January 1975*. Verlag Dokumentation, Posenbacherstr. 26, D-8000 München, 1976. 117 p. (*Archivum*, special volume No. 1, edited by W. Lens.)

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PRINCIPLES OF ARCHIVAL APPRAISAL

by

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Records, both public and private, have all kinds of values.

The first value of public records is to the government itself. They are needed for its administrative, legal, and fiscal work. They constitute the basic tools by means of which its activities are accomplished. They contain evidence of financial and legal commitments that must be preserved to protect the government. They embody the great fund of official experience that the government needs to deal with the problems that come before it. In short, they are the foundation upon which the governmental structure is built.

The second value of public records is to the citizens who are served by the government, for they contain evidence of entitlement to land, citizenship, pensions, medical and welfare services, and a whole host of other rights.

But there are values that inhere in public records after their primary values have been exhausted—after they have served their uses to government officials and private citizens who have relations with the government. These are the research values—the values with which archivists are concerned, for archival institutions are established to preserve records for research uses; they are something more than record centers.

Let me briefly review these secondary values.

After their current uses have been exhausted, public records may still be valuable to the government itself, though they may repose in an archival building. They may be needed by the agencies that produced them for purposes of administration. For they contain information that is needed by public officials who may wish to profit by the recorded experiences of an agency in dealing with organizational, procedural, and policy matters, as well as social and economic problems. Such information is necessary to give consistency and continuity to the actions of the government. The preservation of basic records on organization and function is thus a practical matter that serves both current and future needs of government officials. It is not just a whim of historians and scholars that such records should be preserved. The late Sir Hilary Jenkinson, the most noted of English archivists, observed in his report on the Jamaican archives that "when records cease to be of current use, their proper conservation should be regarded as an essential object of national concern, because they, and they only, can give us unimpeachable guidance for the conduct of the present. The preservation of historical evidence should therefore not be viewed as a luxury, nor as something merely academically desirable, but as a national necessity."

But the chief reason why public records are preserved in an archival institution is because of their value for scholarly research. Such records are basic to a study of governmental, social, political, and economic developments within a country. They are useful in a wide variety of research fields: history, economics, demography, sociology, technology, science, biography, and genealogy, to name the most important. While the research value of older records will almost invariably be recognized, modern records are often dismissed as valueless by those who created them. This view has persisted for a long time, even among collectors of historical manuscripts. Almost a century ago, an American librarian observed that historical libraries "either make no pretense to collect materials for the history of to-day, or if they do attempt it, it is not done with any thoroughness. They are occupied in collecting what ought to have been preserved in previous years, and while they thus laboriously correct the mistake of those who neglected to preserve their own annals they are committing the same mistake with reference to the present." Present-day public records may contain information that also makes them valuable for scholarly research. They may contain detailed information, which is available or accessible nowhere else, about particular individuals, organizations, places, or other matters, or, in the aggregate, facts about social and economic conditions or physical phenomena.

Papers of individuals, and of corporate bodies such as businesses and various types of organizations, are an important supplement to the public records. While the information in them is perhaps less authentic and reliable than that found in public records, such papers have compensating qualities. On any given matter they may provide information that is more incisive, more colorful, and that is often more revealing than that found in public records. They can be used to make historical accounts more interesting and readable than they would be if based solely on public records.

The problem we are faced with is: how to ascertain research values, how to select from among the public and private records that are being produced. For an essential part of an archivist's job is to reduce records to manageable proportions, for not everything can be preserved. A reduction in the quantity of public records, in particular, is necessary for both governmental and scholarly uses. "Even the most convinced advocates of conservation in the historical interest," according to a pamphlet issued by the British Public Record Office, "have begun to fear that the Historian of the future dealing with our own period may be submerged in the flood of written evidences".

Records cannot be appraised by exact standards. It is not possible to create a yardstick by which the value of records can be measured. The most that can be done is to develop certain general principles that should be taken into account in appraising records, and these principles can serve merely as guide lines to steer the archivist through the treacherous shoals of appraisal.

Even the principles that are formulated should not be followed with absolute consistency. Archivists of different countries should use different criteria, and different procedures, in evaluating public records, for records organized under registry systems present different problems of selection and evaluation from those encountered in records organized under American filing systems. Within a particular country, they should use different criteria in evaluating records for a national, state, or local repository, for records may have value for state and local history but lack a national interest. They should also use different criteria in evaluating private and public records, for private records, on the whole, are less diffusive and less voluminous than public records, and for this reason, should be evaluated more conservatively than public records. They should, moreover, use different criteria in evaluating records of different periods, for what is valuable for a past age may be valueless for the present.

As a first general principle, I would like to suggest that *a chronological date line should be established before which all records, public as well as private, should be preserved*. The maxim is valid that was formulated, in 1901, by H. O. Meissner, while head of the Prussian Privy State Archives. It is that "old age is to be respected in records",—a maxim that is obviously acceptable, for records of the past become valuable as they become scarce. For this reason archivists of various countries propose that all records should be kept before certain dates. In Germany the date is 1700, in England 1750, in France 1830, and in Italy 1861. The Italian date corresponds fairly closely, by historical coincidence, to that adopted by the National Archives of the United States, where almost all surviving records created before the Civil War, which began in 1861, are being preserved. I believe that the date 1900 is appropriate for the Caribbean countries. Since climatic conditions are not conducive to the preservation of records, and since archival care was not available until recently in most of the Caribbean countries, I do not believe such a date is too conservative.

The second principle that I would like to suggest is that *private records should be preserved whenever they are made available to an archival institution*. In the United States, very many institutions—libraries, historical societies, and archives,—are engaged in collecting manuscript material. Their number runs into the thousands. They collect letters, diaries, memoirs, account books, and other types of documents that were created by individuals; and records of all types created by businesses, churches, schools, and the like. University libraries, in particular, began very active collecting programs a few decades ago. Robert B. Downs, noted American librarian, observed that manuscripts "formerly neglected in all except a few institutions, are now in some regions of the country, at least, being pursued even more actively than printed matter". The material that is being collected is not only old material; often it is nearly contemporaneous

with the period during which it was collected; for in the United States, at least, research has been extended forward in time, so that now every aspect of present-day society is a fit subject for inquiry.

Two criteria should be taken into account in evaluating private papers, though they should not be applied with absolute finality. One pertains to the uniqueness of the information in the papers, the other to the importance of the content of the papers.

The term "uniqueness" means that information contained in particular papers cannot be found elsewhere, either in published or unpublished sources. In order to determine if papers are really unique, an archivist should know what information relating to their subject-matter exists in books, newspapers, journals, and other publications, or exists in other manuscript collections that are being preserved in research institutions. He must, in a word, be a real expert on the subject of the papers, acquainted with all sources of information pertaining to it.

The term "importance" refers to the importance of the person who created the records or to the importance of the matters to which the records pertain.

Archivists should obviously preserve all papers created by, or relating to, personages that are important to the history of a country. If their knowledge of history is extensive, they will also preserve papers on persons whose influence on the course of events, though less widely known, is nonetheless considerable. If they are dealing with institutional records, such as those of a church or university, they should preserve papers of persons who are significant to the development of the agencies with which they were associated, though such persons may not be generally known.

Archivists should also preserve papers that relate to important things and phenomena, such as a specific historic event or episode, or a specific historic site or building. In general, the more important the person, thing, or phenomenon, the more important is the record relating to it.

The criteria of uniqueness and importance, while somewhat useful as guide lines, should be interpreted with moderation. Most papers are unique in the sense that they reflect a personal point of view that is recorded nowhere else, and hence they meet the test of uniqueness. Usually a record of personal opinions, emotions, and ideas about public affairs, or other matters, is worth preserving. This fact has been underscored by Phyllis Mander Jones, former head of the Mitchell Library in Australia, who wrote that in contrast to archives, "in private papers the student finds a more personal contact with his subject, perhaps because private papers are the more likely to reflect natural human prejudices and feelings," and because they and "the records of private and semi-public undertakings may present a more concentrated source of colourful data."

Nor is the criteria of importance an absolute one, for what is unimportant to one scholar may be important to another. The American historian Justin H. Smith observed that "a great deal is said by some people about 'rubbish', but one investigator's 'rubbish' may be precious to another, and what appears valueless today may be found highly important tomorrow." Records of unimportant people—farmers, storekeepers, laborers—are thus often preserved for studies of economic and social conditions. Such records, for that matter, are valuable for reason of their scarcity, for unimportant people usually do not keep records.

Let me now turn to some of the principles that should govern the evaluation of public or governmental records.

The first is that *the value of records for the current business of government should be determined by the officials that use them*. Such officials should keep records under their own jurisdiction so long as they are needed for administrative, legal, and fiscal purposes. This is quite proper. They should preserve records until their value to the government has been exhausted or nearly exhausted.

The second principle is that *public records should be evaluated in relation to the evidence they contain of the organization and functioning of the body that produced them*. Here I refer to evidence on what an agency did—how it started, how it was organized, what it did, and what impact its actions had on the public. This evidence, in short, should contain the story of an agency's existence and achievement. It should reflect its experiences in dealing with the programs for which the agency has responsibility, and should show how its policies and procedures were formulated, what basic decisions it made, and what major actions it took. For an archival institution should preserve evidence of the governments' stewardship of its responsibilities. This evidence should be preserved for the accounting all public officials owe to the people whom they serve.

In the federal government of the United States, the records that are preserved for their evidential values fall into three major classes:

- (1) master sets of recurrent types of documents that reflect an agency's policies, procedures, organization, and accomplishments;
- (2) significant documents at the executive level that show the rationale of its basic plans and decisions and its major actions, and how the latter were directed and reviewed; and
- (3) selected documents on specific functions and activities that show how these were typically performed.

While records may be organized differently in the Caribbean countries from the way they are organized in the United States, it may nonetheless be worthwhile to consider the three classes in more detail.

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1. *Master sets of documents.* Master sets of documents should include the following types:

- (a) Formal policy and procedural issuances with related documentation concerning their origin and development, including recommendations, justifications, endorsements, clearances, and substantive comments. Such issuances serve to communicate staff policies and procedures to various offices with an agency. Sets of all issuances (current as well as obsolete) should be preserved for archival purposes.
- (b) Organization charts, functional statements, and directories. These are needed to understand the structure of an agency and the significance of the persons who work in it. Record sets (current as well as obsolete) should be preserved for archival purposes.
- (c) Narrative and statistical reports on program accomplishments. Often summary narrative accounts of the direction and execution of an agency's programs exist. These accounts may be in the form of annual or other periodic reports on accomplishments. Official reports, while uncritical, are, nonetheless, archivally valuable. Narrative accounts of an agency's history have a greater value than annual or other periodic reports on accomplishments, and should be preserved for archival purposes.
- (d) Publicity material and publications. A record set of each type of publicity material, such as press releases, press conference transcripts, official speeches, and the like, should be preserved. Also a record set should be preserved of publications that contribute to an understanding of an agency's organization, functions, and accomplishments.

2. *Records on executive direction.* An archival institution should try to preserve for each agency records that provide a rationale of major actions at the executive level. For want of a better designation, such records are termed "records on executive direction". They relate to agency-wide or bureau-wide policies and decisions; basic programs and plans; general management problems; relations with legal, management, and personnel offices; relations with extra-governmental bodies, such as business firms; relations with other governmental bodies; research, analytical, and inspection activities; program development and evaluation, and the like. Such records relate to the direction rather than to the actual performance of government programs. The types of records on executive direction include the following:

- (a) Authoritative documents that affect and define functions, such as laws, orders, court decisions, legal opinions, interpretations, rulings, and related endorsements, clearances, and comments.

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- (b) Agenda, minutes, and transcripts, with supporting papers (including copies of documents acted upon or discussed) of staff meetings.
- (c) Agenda, minutes, and transcripts, with supporting papers (including copies of documents acted upon or discussed) of meetings of interagency and extra-governmental bodies.
- (d) Reports on studies, surveys, audits, and inspections of organizational structure, operations, management, and systems, with related papers showing their inception, scope, procedure, and results.
- (e) Budget statements, with supporting and contributory documentation of substance.

3. *Records on specific functions.* An archival institution should try to preserve for each agency records that show how its programs were accomplished. It should carefully select documents that reveal what was done by public officials in carrying out specific functions and activities.

Here we are in a difficult area of appraisal and selection. Almost every record is a product of some kind of action and throws light on that action. It is, therefore, necessary to determine, first, which actions are deserving of documentation, and secondly, what and how much documentation should be preserved on them. There are several guide lines that should be followed in making such determinations:

- (a) It is necessary to analyze the character of the functions and activities in relation to which records are produced. Functions may be characterized as substantive and facilitative. Substantive functions are those relating to the specific mission or missions of an agency, the work that distinguishes the particular agency from all other agencies. These are deserving of permanent documentation. Facilitative functions, on the other hand, are those relating to the internal management of an agency, the housekeeping activities that are common to all agencies. Although these activities are admittedly important to efficient operation, they are merely incidental to the performance of an agency's substantive functions and are seldom worthy of permanent documentation.

Relatively few records, on internal management or house-keeping activities, need be saved for archival purposes. Such records cover the minutiae of administering personnel, pay-rolling, procurement and supply, accounting, travel and transportation, space and maintenance, and related activities. The procedures that are followed in handling such actions are pretty much the same in all agencies and records pertaining to them seldom contain much evidence essential to an

understanding of the functioning of the specific agency. Enough material on housekeeping activities of a government is usually preserved among the records of the staff agencies responsible for overseeing them.

- (b) It is necessary to analyse the total documentation on any specific function or activity. In the execution of function, action is usually taken by offices at several administrative levels. These actions normally relate to progressively more detailed matters as one descends the administrative ladder. At its bottom they relate to the dealings of the government with specific persons, things, or phenomena. Records on function should not be selected on a piecemeal basis, they should be selected on the basis of a knowledge of the entire documentation relating to the function.

To determine which records on a given function should be preserved, it is necessary to analyse the records and their relationships at different administrative levels. It may then be possible to identify specific files that embody the essential record of the performance of the function; these should be preserved. Where summary records are available, usually at higher administrative levels, they are often found to contain adequate documentation.

- (c) It is desirable to preserve records that show how a function was typically executed. The emphasis here is on records that relate to the typical, or normal, course of action. These may be files that are representative of all or most of the transactions of a specific kind. A few case files on how labour dispute cases were adjudicated, for example, may be adequate as a record of the procedures that were followed. Or records of a specimen office at a lower administrative level may illustrate the norm or pattern of action. During World War II, a limited number of price and rationing boards of the Office of Price Administration were designated as "record boards", whose records were preserved in their entirety at the National Archives to illustrate how various problems were handled at the local board level.
- (d) It is necessary also to retain records on typical aspects of an agency's functioning and activity. The emphasis here is on records that relate to unusual or outstandingly significant actions or events. In the criteria for the selection of public records developed by the British Public Records Office, provision is made for the retention of "papers relating to a well-known public or international event or cause célèbre, or to other events which gave rise to interest or controversies on the national plane". Records should be preserved on particular actions that have special significance for an agency or have an unusual impact on the public. Similarly, fairly complete documentation should be preserved on actions that

represent significant deviations from the norm. These deviations may occur both in substantive and facilitative functions. Even records on housekeeping activities that are distinctive, that deviate markedly from the normal pattern, or that pertain to problems peculiar to an agency, should be preserved.

The third principle is that *public records should be evaluated in relation to the information they contain on persons, things, and phenomena*. The term "persons" may include either individuals or corporate bodies. The term "things" may include places, buildings, physical objects, natural objects, and the like. The term "phenomena" relates to what happens to either persons or things—to conditions, problems, activities, programs, events, episodes, and the like. Here we are concerned with records preserved solely or primarily for their research information. This is information that is in public records on the matters with which public agencies deal; not information that is in such records on the public agencies themselves. Most of the larger series of records in the National Archives of the United States, for example, were accessioned primarily for the information they contain relating to other matters than the action of the government itself. Among such series are the voluminous census schedules, military service records, pension files, passenger lists, and land-entry papers.

Research values are very difficult to appraise. The National Archives has established criteria for the recognition, identification, and selection of records that contain research information, which are discussed in its bulletin on "The Appraisal of Modern Public Records". In general, the value of records for research purposes is judged on the basis of:

(1) the uniqueness, (2) the usability or form, and (3) the importance of the information they contain. These criteria are discussed in reference to records containing information on persons, things, and phenomena.

1. *Records on persons*. In appraising recent records that relate to persons, I recommend the following actions:

Keep all records relating to important persons, both individual and corporate, if such records can be readily identified and segregated. But do not keep large series containing personal information on the off chance that some document in the series may pertain to important persons.

Keep records that contain concentrated information on persons in the sense that single documents, or single files, contain extensive or intensive personal information. Such documents may relate to many persons or may contain many facts about a few persons. Census schedules on population, for example, list many persons about each of whom facts are given that are useful in a variety of studies. Studies of occupational or ethnic or other population groups, on the other hand, contain intensive information about few persons, relatively speaking.

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Keep adequate specimens, or a statistical sample, of files on classes of persons, such as occupational or religious or other kinds of groups, and of files on corporate bodies, such as businesses or labour organizations, if such records are useful for studies of social and economic or other conditions, and if such records constitute the sole or the most usable source of information on such matters.

When dealing with records relating to personal rights, keep only those pertaining to fundamental rights, such as those on entitlement to land or citizenship, in the archival institution; keep all others, including records on pensions, social security, medical and welfare services, in the agency that created them for the duration of their usefulness. Do not keep the innumerable other classes of records that reflect purely temporary relations of citizens with the government, such as tax records, contracts, and the like.

2. *Records on things.* In appraising recent records that relate to things, I recommend the following actions:

Keep records pertaining to fundamental things, such as land. Such records may relate to mineral resources, soil classification, geological and topographical survey, exploration, land ownership, and the like.

3. *Records on phenomena.* In appraising recent records that relate to phenomena, I recommend the following actions:

Keep records relating to important events, episodes, or other specific phenomena.

Keep records that in the aggregate are useful for studies of social, economic, political, and other conditions within a country, provided that they constitute the sole and most usable source of information on such matters. If such records are so voluminous that their scholarly exploitation is difficult, keep only a statistical sample, or adequate specimens, of them.

The British Public Records Office has established criteria, which specify that the following classes of records pertaining to phenomena should be preserved:

Papers containing direct reference to trends or developments in political, social, economic or other fields, particularly if they contain unpublished statistical or financial data covering a long period or a wide area.

Papers relating to the more important aspects of scientific or technical research and development.

Papers containing matters of local interest of which it is unreasonable to expect that evidence will be available locally, or comprising synopses of such information covering the whole country or a wide area.

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While the research information in public records is, admittedly, often quite important, most subjects to which recent records pertain are adequately dealt with in other media of information. The detailed information they contain on persons, for example, is usually summarized in tabulations and reports or is available in published form or other media. The very mass and complex character of recent public records is often an impediment to fruitful research.

In conclusion, let me say that the appraisal of records is primarily a matter of hard analytical work. Appraisals should not be based on intuition or arbitrary suppositions of value; they should be based instead on a thorough analysis of organization and function and a thorough analysis of the documentation bearing on the matter to which the records pertain. For analysis is the essence of archival appraisal. An archivist's appraisals will be dependable to the degree that he has studied how records came into being and has analysed what other sources, published and unpublished, are available on the subject matter of the records under review.

ARRANGEMENT AND DESCRIPTION

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Controlled vocabulary subject indexing of archives*

Lionel Bell B.A.

NATURE OF SUBJECT INDEXES TO ARCHIVES

The information contained in archives may be approached in a number of ways and the subject approach, by means of a subject index, is not one that has been regularly provided to the same extent as in libraries. The reasons for this and the differences between library and record material need to be examined before any attempt can be made to consider a more systematic approach to the subjects of records. This examination is particularly necessary because such systematic approaches have been made in the library field and it would not be sensible to ignore the possibility of borrowing techniques from libraries for use in record offices. On the other hand where library methods have been evolved to meet problems that are peculiar to libraries it would be unwise to succumb to the temptation of using such methods simply because the detailed techniques have been worked out and proved.

It is an archival tradition that records, in contrast to books and articles, are *part* of transactions rather than *about* them, and though some qualification of the general principle may be necessary there is sufficient real difference to lead to different approaches in indexing. For example, even the most detailed of articles might be *about* the recruitment and organization of a contract army in 1337, whereas the records are the contracts made by particular parties for particular purposes on particular days and the accounts recording consequential payments, and so on. In consequence the provision of an approach to records through indexes of names has been both obvious and obviously helpful, so that such provision has been made regularly, whereas a detailed subject approach has often appeared either difficult or out of place. Where subjects appear in indexes to records they are often subordinate to names, as in 'Switzerland, duty on potatoes', though the subject element may on occasions be treated independently elsewhere in the same index, and the name may in this way be subordinate to the subject, i.e. there may be an additional entry 'Duty on potatoes in Switzerland'. The frequency of this combination of entries beginning with subject words and those beginning with names has an effect on the classification of subject indexes or, more properly, general indexes to records. The classifications generally have a strong alphabetical element, and only rarely is an attempt made to arrange entries in an order which is dependent on the relationships of the ideas concerned.

The arrangement of archives by administrative provenance goes a good deal of the way to narrow the field in record enquiries. In respect of any one enquiry nearly all administrative departments can be ruled out on chronological grounds or those of area of competence in a way which is not paralleled in the library field. In the latter case an approach can be made through a single classified catalogue to all the holdings, whereas with records, once the departments or classes likely to be useful have been determined, use is made of the separate means of reference for them, which do not

* I am obliged to the Keeper of Public Records for permission to publish this paper, much of which was prepared in the course of official duties.

therefore require to contain any very general element. All the entries in such means of reference are of a specific nature, whereas in library catalogues general ideas not only govern the layout of the classification but provide pegs on which to hang references to general works, including the most general of all, such as encyclopedias. There are no general records in this sense.

The choice of administrative departments or archive classes likely to be useful is not, of course, a simple matter and often relies heavily on the general guide to a record office and particularly on the subject index to such a guide. Because this is the primary entry for many searches, and because its index is to descriptions of departments and classes, not to records, it may have more in common with library practices than the indexes to records which are the subject of the present paper. Rather more general elements may appear, particularly if a goodly proportion of the record classes concerned are deposits, having no administrative provenance to constrict their range. For this reason an attempt, for example, to systematise the indexing of a number of guides, or descriptions at guide level, may well be able to employ library methods to an extent which is not desirable in indexes to records. The same is true of subject indexes to all the holdings of an office which exist, e.g. on cards, independently of a printed guide. Furthermore, indexes to deposited documents or historical manuscripts themselves as well as indexes to descriptions at a guide level, may be rather more general and classified in their approach than the largely specific indexes to archives. The following remarks about indexes to archives must therefore be taken to exclude the indexes distinguished above.

CLASSIFICATION AND CONSISTENCY

While classification, the grouping of related subjects under a single head, has of course been regularly employed in indexes to records, the motive has been largely methodological and the method alphabetical. Not only has alphabetical order been the criterion for arrangement inside any one heading, the headings themselves have been arranged alphabetically to construct the index as a whole. I know of no case in which an attempt has been made to group related headings in a fully classified manner, though there is an element of this kind of classification inside the 'Actions' heading in the subject index to *Curia Regis Rolls*. On the whole the general index combining subjects and names, as exemplified in the Foreign Office *Main Index*, has been more common than the separate subject index, exemplified in the *Curia Regis Rolls* and, having regard to the nature of the enquiries made of records, which in turn depend on the specific character of the material, this is surely right. When one has a specific enquiry combining name elements and abstract elements it is more helpful to be given one index in which all the alternative approaches can be checked, and it is generally preferable for the entries to be made as specific items rather than assembled in groups. There are, of course, many cases in which an indexer can reasonably assume that those interested in subject A would also have an interest in subject B, so that to that extent it is helpful to bring them together under some more general heading. There have been, I am sure, many more cases in which the grouping has been methodological in origin and quite unrelated to assisting the reader, so much so that a tendency has been developed to disallow any specific entries at all. Indexes have been produced in which all entries have been assigned to some abstract head, which thus governs the position of the entry in the index, even when such heads have only one subordinate entry, so that no element of grouping like with like is involved. The methodological background is this. One of the great difficulties confronting subject-indexers, particularly as compared

with name-indexers, is consistency. They have constantly to ask 'Has this sort of subject been indexed before?' or, to put it another way, 'Have I indexed at this or that depth for this kind of document before?' and also 'Given that this subject should be represented in the index what language have I used before?' There is then, in order to achieve consistency, a constant need to refer back to earlier indexes in the series and to earlier stages in the current index, and this kind of examination is assisted if the indexer knows that a particular subject, if it appears, will be in a particular group, whatever the language employed to describe it. For a group of this kind is a smaller item to examine than the whole index, and it is, in any case, a group of precedents rather than single entries that an indexer needs to consider from time to time in order to maintain his consistency. Index users on the other hand can quite often go straight to the individual entries they need, particularly in an index in which there are many specific entries introduced by names. The imposition for straight subject entries of an intermediate stage of deciding which group or groups of subjects to examine is thus in many instances unhelpful, even when the decision is merely a matter of following a cross-reference. This is not to say, as has been pointed out already, that there are not instances in which the index-user interested in A is so likely also to be interested in B that it makes sense from his point of view to group terms. Nor is it to say that there are not users who need the help of some sort of classification to narrow down their more general inquiries. But it is to say that, on the whole, indexes to the subjects of records should contain individual specific entries, and, particularly, that any grouping of entries should be carried out for the sake of the user and not for any temporary mechanical advantage to the indexer.

The imposition, by the nature of the material, of specificity in description, and the advantage to the user of maintaining it in the arrangement of the index, make it unlikely that any pre-packed classification can usefully be developed for the indexing of archives in the manner in which such classifications have been developed for use in libraries. Record series differ in content very considerably and it will be more profitable to develop as much classification for the indexing of a series as that series needs. As has been shown, this need, in terms of quantity, may not be great, though in every case some kind of consistency control is required, but the need is for a made-to-measure product. The case may well be different for the systematic indexing of guides to record offices or information of that kind and, if it is possible, it might be desirable for all guides to be indexed in one way or for union indexes of them to be prepared.

The need is thus for specific indexes, in the sense that the entries are on the whole not arranged in subject groups, general indexes in the sense that subjects and names appear in one order, not separately, and indexes in which there is nevertheless some kind of consistency control. The question is whether such indexes can be provided in any systematic way, particularly with the help of machinery. The related question of replacement of indexes by machinery I do not propose to consider on the grounds that archives users would prefer to have conventional indexes that can be carried, sent and consulted anywhere and that the techniques so far developed in retrieval systems are not well adapted to archival inquiries. Since the construction of indexes to subjects involves a succession of decisions, each of which should be a precedent, we should see if these decisions can be recorded in such a way that the precedent thereafter is operated automatically, relieving the human indexer of the task of looking up precedents or, alternatively, of the duty of making decisions in case where decisions have already been made. This is subject, of course, to making it possible for him to change his mind, or the system's mind. When indexes are stored in a machine-readable form they can

be merged to produce union indexes, or have selections made from them, provided they have been produced in a manner consistent with one another, or a method exists of abolishing the inconsistencies. If such a system can make it possible to eliminate some clerical tasks in the construction of an index the possibilities of merger and selection of this kind can be regarded as a bonus.

This brings me to the question of consistency, which has been remarked as an essential quality of a satisfactory index. One of the ways in which indexing must be consistent if it is to be satisfactory is in the choice of events and ideas to be indexed and, in the case of many documents, in the choice of names also. Similar documents should be indexed in a similar way in respect of detail or depth and approach. I can see no way in which such choices can be made mechanically. The terms in which a passage is indexed may not appear in the passage itself so that they might be extracted by mechanical scanning, and even in the case of names there seem to be no reliable rules by which they can be lifted out of the text to be processed into an index form. How much less then can the choice of subjects be reduced to rules, depending as it does on subject knowledge and assessment of the value of the document, on understanding, in short, what the document means? It can be taken for granted that suitable index entries in this field can be prepared only by the intervention of human beings who must continue to be responsible for consistency in their choices, though it will be seen that some help can be given by machine processing.

The next stage in processing is to see that the language employed is consistent with the language employed earlier, that the same notion is expressed in the same terms, and that any form of classification or grouping that has been employed previously is employed again. In most indexes to records subject entries have only their introductory term or phrase treated from a subject point of view, and any modifications of this introductory term that follow are arranged simply by alphabet. Thus one might have 'Exports, of armaments by Germany' and 'Exports, promotion of by government action', without any attempt to work out logical relationships between the introductory term and the modifying phrase, to arrange the modifiers in standard patterns or logical orders. It follows that all the previous decisions concern these terms which themselves consist of one or two words, and all these decisions can be stored separately from the index. Such decisions need not affect its arrangement, though they may, and they can be consulted by matching words. This can be done mechanically.

It has been suggested in the case of entries consisting of terms and their defined relationships that a classification could be made to grow automatically from the relationships.¹ That is not possible here, where there are no relationships inside the entries, but to some extent a classification could be made to grow naturally by recording all the decisions that had been made about language and arrangement. This is so to the extent to which a classification consists of decisions about the language and arrangement of the index itself, i.e. in the bottom layer, but the higher layers, which are necessary to ensure complete consistency, must be a deliberate creation. The whole of the classification consisting of these two elements can be stored separately from the index, proposed index entries can be matched against it, and it can itself be printed out in full or in part as required.

The guidance necessary for the consistent construction of successive indexes can thus be provided without interference with the internal arrangement of these indexes in their published form, except where a decision has been taken about internal arrange-

¹ Farradane, *Scientific Theory of Classification and Indexing in Journ. Documentation* 1950 and 1952.

ment on its own merits for the benefit of the user. The classification in this sense will consist of the decisions that have been made about grouping and synonyms within the index and also of the arrangement of the terms which are acceptable as catch-words in the index in some logical pattern. These catch-words or introductory terms will appear alphabetically in the index and thus govern its order, but will be arranged conceptually in the higher part of the classification. The whole classification will consist of terms linked by one of three kinds of relationship. Within the index there will be a synonymous relationship in which A, for the purposes of this index, will be the same as B, and all entries under one will be transferred to the other. Also within the index there will be a subordinate relationship in which A, for the purposes of this index, will be a subhead of B, so that all entries relating to A will be found under B, A. Between the catch-words and the higher or external part of the classification and also within the latter there will be a relationship largely but not entirely of subordination. That is, it will often be that A is an example or a part of B, but A might also be an aspect of B or have a kinship with B. The divorce of the subordinate, modifying, and reference parts of the index entry from the terms that go into the classification has a desirable effect on the latter, as well as on the index. The external classification is very much less bulky than the classification informing and expressed as a full index, and because it is compact it need no longer be strictly hierarchical. In a fully hierarchical arrangement any concept has its place under only one other concept to which its relationship is one of subordination, whereas if there is space to do so the multiple relationships of concepts with each other can be included. Thus we can relate the catch-word 'rearmament' both to 'industry' and to 'weapons' and in those two relationships it will be associated with two mainly different groups of fellow catch-words. The expression of such a multi-dimensional network involves much repetition and is possible only if the terms to be related consist of but a word or two. It could not be expressed within even a small index because the necessary repetition of entries, each consisting of catch-word, subordinate, modifier and reference, would be unmanageable. The multi-dimensional network gives a much more faithful picture of the conceptual situation than the hierarchical framework, whose rigidity has to be broken by the use of cross-references to indicate relationships not indicated by the classification if it is to be used at all.

This idea of classification shown separately from the index has its predecessors. In the *Inventaire des Archives de la Ville de Strasbourg* série VII, there is a table of groups of catch-words from the index under such heads as 'Histoire militaire' and 'Vie intellectuelle'. It is intended to save space in cross-references and repeated entries. A somewhat similar proceeding was followed with the subject index to the *Calendar of Liberators Rolls* vol. VI to point the way to the groups within which the entries were arranged, such as 'Arms, armour' and 'Trades and occupations'. The terms appearing here are thus intermediate between the two layers of terms used for the Strasbourg index. In both these cases the initial tables were dependent on what went into the index, by contrast with the library type of classification prepared in advance and intended to meet all needs, which then governs the arrangement of the books or the catalogue rather than deriving from it. It is, of course, very much easier to develop from an index, or series of indexes, just the amount of classification required than to devise *in vacuo* a generally applicable classification for the arrangement of items not in existence at the time.

This brings us to another necessary feature of this system, that it must be possible to amend and extend the classification as required. This must be done in a coherent

manner, after an examination of the existing classification, and it must be done without destroying the value of existing indexes. In particular the possibilities of merging and selecting indexes must not be affected. To the extent to which the index is not shaped by the classification this fact itself preserves these possibilities, and, in so far as the index is arranged by the classification, problems of fitting it into a later version can be met by the form in which the machine-readable index is stored. Apart from the possibility of merger, the value of early indexes in a series will be preserved simply by their separate existence in a printed form, independently of anything done to machine-readable versions. The fact that the classification exists divorced from any actual index thus makes it possible to alter it without damage. This separate existence also has its effect on the style of indexing. The indexer can aim at identifying the important aspects of the document and at expressing these in the language that is immediately appropriate, in the knowledge that the combination of these aspects into more general viewpoints and the comparison of his language with the language previously used will be carried out separately, and to some extent automatically. This should encourage him to write index entries that are specific rather than generalised, in which the description he provides relates closely to the content of the document. Such specificity has already been shown to be a desirable feature of indexes to records.

Whenever any index is printed after processing, as much of the external part of the classification as relates to the terms used as catch-words in that index should also be printed and issued as an introduction to the index. The headings of this part of the classification should appear in or be referred to in the strictly alphabetical index, so that the latter serves as an index to the classification as well as to the records. With library classifications an alphabetical index is usually necessary and the same feature can be provided very simply here.

The external classification, now that it has done its work in controlling the vocabulary and, to a small extent, the shape of the index, can provide more direct assistance to the index-user. In many cases the user can go directly to the terms which interest him, and this is why specificity is valuable, but some users may be uncertain where to enter the index, or fail to enter it with the terms they have in mind. The separate classification will provide such users with a manageable conspectus of the index. Even those who have successfully entered the index and found their references may appreciate being guided from it to associated ideas in the classification, and by making this move can seek assurance that their examination has been exhaustive, that they have looked under all the terms in this index which might interest them. This service is provided, in a quite unsystematic way, by the use of *see also* cross-references in conventional indexes to records and such references will no longer be required.

COMPUTING AND EDITING

A computer could be employed in the construction of an index in the following way. It would be presented with proposed index entries consisting of catch-word, modifier, and reference, and would begin by examining the catch-words in order to put aside those marked as names, whether of persons, places, vehicles, corporations or documents. It should be understood that notation of these name-types and of the subject terms must be part of the input. It should be acceptable to notate subject terms appearing in an entry after a name, as in 'Germany, *export* of armaments by'. The subject terms thus discovered would then be matched against the classification in store to determine whether they had a place in it. This matching should be arranged so as to be unaffected by use of plural or singular, upper or lower-case letters. There are six possible results

of this test. The term may be found to be an acceptable catchword, in which case the entry can be put aside to appear in the index in its input form. The term may be found listed as a synonym of an acceptable catchword, in which case the latter is substituted for the original term, a cross-reference from the original term to the catchword is generated, and this and the revised entry are put aside as before. Thirdly the term may be found listed as a subhead to an acceptable catchword, in which case the latter is added to the entry before the original term, a cross-reference from the original term to the catchword is generated, and this and the revised entry are put aside as before. The fourth possibility is that the suggested catchword is found in the classification only at a higher level, and in this case the entry should be printed out as a reject with this information. Fifthly the term may be found in two meanings, i.e. marked as a homonym, and again it is rejected with this comment. The final possibility is, of course, that the term is not found, and the entry is thus printed as an unqualified reject.

It now falls to an index editor to consider these rejects and to alter them or the system so that they become acceptable. This can be done either by increasing the number of acceptable catchwords, which process is controlled by the need to insert new catchwords into the classification, or by marking the proposed entry terms as synonyms or subheads of existing catchwords, or by re-writing the entries with acceptable catchwords. This editing will be discussed in more detail at a later stage, but it must be pointed out now that human intervention of this kind somewhere in the middle of the processing is an inescapable feature of indexing record material to a desirable standard. This applies both to subjects and to names and may well turn out to be a serious obstacle to the economic use of machinery to assist in index creation.

The revised input can be repeated against the revised classification, taking care to test the previously accepted material also, in case some inadvertent change in the classification has made it unacceptable. All entries should now fall in the first three categories and at this stage of processing steps should be taken to ensure that the appropriate segment of external classification is available for print-out.

APPLICATION TO CABINET PAPERS - INDEX LEVEL

Before any of this can be done, however, the first index in any series together with its classification must be created manually. This has been done for the Cabinet Papers of 1938, and an index for those of 1937 has been matched and edited into the system.² This exercise has indicated some points which need discussion. It has been remarked already that in entries which begin with a name followed by a subject term it should be possible to mark the subject so that it can be treated in the subject system. In such cases it would usually be simplest for both the name and the subject term to appear at the appropriate points in the printed classification for that index, though naturally the name would not be absorbed permanently into the system here. The alternative would be to generate automatically a cross-reference from the subject to the name, and some indexers may prefer this. The need can be met, however, without employing either of these methods by making an additional index entry at the time the document is first indexed, in which case everything that appears after the name in the first entry should be treated as a mere modifier, having no function in generating the index unless called upon to determine the alphabetical position of the entry. This is the method adopted, almost exclusively, in the index to Cabinet Papers, and it would be desirable

² Sections from the Classification and the Index to the 1938 Cabinet Papers appear as an *Appendix*. They illustrate the points discussed in this section of the article.

for each index series to have a general ruling about which method is to be used by the indexer. To illustrate the three methods let us take the entry 'Germany, export of armaments by'. In the first method the indexer would indicate, perhaps by underlining, that the word 'export' was to be treated as a subject, and in the consequent classification both 'Germany' and 'export' would appear as aspects of, let us say, 'trade'. In the second method the same marking would be used, but only 'export' would appear as an aspect of 'trade' and the system would generate the cross-reference 'Export: *see* Germany'. In the third method the indexer would not subject-mark the first entry at all but would write another entry 'Export of armaments by Germany', just as with any of these methods other than the fullest permutation, he would write yet another entry beginning 'Armaments'. This practice of repeating entries I propose to call cross-entry. In name-indexes, where there is no external classification to provide references into the index, cross-reference and cross-entry are the only alternatives for a pair of linked names, and I should regard cross-reference as more likely to be a sensible method here than in subject-indexes. In the example above a user will go to 'Export' because that is what he is interested in; he will hardly take kindly to directions to pursue his enquiry under half a dozen different names. In any system, however, which provides cross-reference, an indexer can evade it by refraining from notating the later part of an entry, so that it is treated as mere modifier. He can then insert himself the cross-entry he requires.

As has been seen above the system envisages, in any case, cross-entry between subjects. The automatic generation of cross-references on the basis of the internal relationships in such phrases as 'export of armaments' would be difficult, even if the cross-references produced were likely to reach a higher standard of elegance than 'Armaments *see* Export of armaments'. The same is true of the automatic generation of cross-entries, as in permutation indexing, though cross-entries do avoid the difficulties in cross-reference arising from the choice of that element to which all other elements are to refer, in which the results will almost certainly be inconsistent when a large number of entries are alphabetised into a single index. The basic difficulty in this kind of permutation is that the process cannot be applied directly to the contents of documents, but only to condensed descriptions of them. Where such condensed descriptions already exist, as in a list of file titles, permutation indexing on the basis of a simple notation can produce a usable result, but it is not of the same standard as would be obtained from human indexers. When such condensed descriptions do not exist there is no point in using people to strain after single descriptions to cover all the aspects of a document, and then permuting the descriptions automatically. People can be better employed in writing out in natural language all the aspects they assess as noteworthy. The permutation of name descriptions, where the range of internal relationships and language is limited, is another matter. To permute 'Oxford, mayor of, *see* Smith', out of 'Smith, John, mayor of Oxford' may well be a sensible proceeding.

An indexer should therefore write an entry for each aspect of the document before him that in his judgement requires to be brought out. In some cases the treatment of the words following a name as mere modifiers, to be disregarded from a subject point of view, suits their nature very well, as in 'Germany, situation in'. However, there may be cases of this kind in which it is difficult to write a subject entry to cover an aspect which nevertheless deserves to be treated and made accessible from the classification. In such cases the appropriate term in the classification might have a note permanently attached to it, in the following form 'Foreign affairs (*see also* named countries and areas)'.

Although subject to name cross-references (Exports *see* Germany) will not be manu-

factured by the system thus described, provision should be made which will enable an indexer to prepare them by hand and insert them if he so wishes. The subject concerned should be acceptable to the classification in the same way as any other subject. 'Acts' and 'Bills' are examples of this in the Cabinet Papers index. Subject terms, which will stand on their own in the classification, should as far as possible be nouns or complete phrases rather than adjectives, for the latter will not only appear awkwardly in the printed classification, they may well be merely repetitive of the associated noun. However, in many cases this will not be possible and the element of repetition involved in having both 'Agricultural' and 'Agriculture' in the system will have to be accepted. It is, perhaps, more avoidable in the case of countries, where 'Germany' will replace 'German' in most cases.

A certain degree of flexibility is desirable in marking off the subject terms. A phrase may, for instance, be divisible so that the first part is associated with one term in the classification and the whole phrase with another. 'Financial assistance' is an example of this in the index to Cabinet Papers. A synonymous or subordinate cross-reference may be to a modified version of a subject term as in the example of 'Industrial injury', where only the first word is treated as a subject term and placed in the classification. Where a subordinate cross-reference is thus involved it appears as a subhead in the entry after the modifying words, as it might be 'Industrial, injury, silicosis'. The use of commas to mark off the subject term in divisible phrases is regrettably unnatural but the division must be expressed in some way.

Some care has to be taken with synonyms. 'Workmen's compensation' does not mean the same as 'Industrial injury' and the decision to treat them as one for the purposes of Cabinet Papers involves the risk that later editors may have to follow all the references into the documents if they decide there is a case for separating the references to these two. But if they really cannot be separated at the time the decision is first made in respect of the documents with which it is concerned the risk can be evaded only by duplication of references, and is probably well worth taking. Homonymous terms, those with more than one meaning, should be marked in such a way as to demand a human decision whenever they are encountered. The distinction required should be expressed by referring from such terms to others within the index, and such references may be either synonymous or subordinate. Before any manually created index can be used in computing a careful examination is necessary to identify possible homonyms, otherwise the system might accept a term and classify it in a sense quite inappropriate to the entry which it governs and the mistake would be difficult to detect.

Within the context of one run of indexes it may be desirable to treat a name, e.g. 'Committee of Imperial Defence', as concurrently a subject term. This will be the case if it is closely associated with one idea or one range of ideas. If this is done provision should be made for such names to be easily extracted from the classification if it is intended to use it for some other series of material, though if the use of this facility is strictly limited to cases of close association no great damage is likely to arise from non-extraction. This treatment is an alternative to attaching '*see also*' notes to classification terms, and is quite different from the possibility of using a name as a reference to a subject term which immediately follows it in an entry, as with 'Germany, export of armaments by'. In the latter case the name does not become part of the classification but is merely printed with it on a single occasion. Names that may suitably be treated concurrently as subjects will almost always be those of organisations and documents.

CABINET PAPERS - CONSTRUCTION AND USE OF EXTERNAL CLASSIFICATION

When all the required entries have been written and sorted the construction of the external part of the classification can begin. Some degree of classification within the index level will already have been carried out by the identification of synonyms and the choice of subordinate headings though more remains to be done. Each subject term in turn should have had marked on the leading index slip for that term those broader headings with which it is associated, and for each of these broader headings a slip should be written on which the index terms associated with it can be entered. These broader headings will form the bottom layer of the external classification proper and it is desirable to lay them out in such a way that they can all be seen at one time. Once all the index terms have been processed in this way the reverse procedure takes place, in which each of the classification terms is examined in turn. For each of them there will be a group of associated index terms and examination will show whether any of these are synonymous or properly to be subordinated one to another. Any changes made should, of course, be made also in the index, and the opportunity should be taken to run through all the index with each broader heading in mind in turn. Particularly when some of the broader headings have been brought into existence during the course of examination of the index, there may be some reasonable index-classification relationships which will become apparent only in this way. Finally, a similar process carried out much more briefly will make it possible to construct the upper levels of the classification, in which some headings have other headings shown as aspects. Throughout all this it must be borne in mind that a term may be associated with or shown as an aspect of any number of headings.

Further, it will be advantageous in some cases if a term is allowed to appear both in the index and at the first level of the external classification, as in the case of 'Law' in the Cabinet Papers. Unnecessary confusion would be caused, however, if in its appearance at the index level it were associated with any other terms at the higher level. The acceptance of this practice is, of course, quite distinct from the rejection of proposed index terms which have previously had a place only in the classification, and there should be no difficulty in providing for this distinction within the system.

At each succeeding stage the classification can be extended as required. Whenever more terms than are comfortable are associated with a single heading they should be regrouped, and this will lead to changes in level and sometimes to the disappearance of terms as well as their addition. Since no term can be added to the system without placing it in the classification, such additions can take place only after a scrutiny of its fellows, which should reveal its relative value and ensure consistency of description. The editor thus deals only with those cases in which a decision has not previously been made about the arrangement of subjects, though he should also have the opportunity to examine the results of the revised run and over-ride any arrangement in the context of the particular index being handled. This is a facility which, naturally, should be handled sparingly.

The detailed extension of the classification requires that the editor should have the current print of the whole classification, internal and external, and should mark his alterations on it as he goes, in order to ensure consistency. One of the particular problems of this stage is that of subject access to the body of text being indexed. Many editors may feel that without access of this kind *via* so much of the index as exists they are unable to make comparisons between passages in the documents which may require to be indexed in similar language. This is a facility enjoyed with manually constructed

indexes, and it can be provided in a mechanical context by having those index entries which have been accepted processed completely through the system so that the editor has available not only the index entries, by virtue of their now being in alphabetical order, but also the relevant part of the classification. In so far as these entries will have to be processed once more after the editing stage this method will involve some extra expense and whether it is justifiable must be judged in the circumstances of each case. A further refinement with further expense can be introduced in the shape of a concordance, in which after each entry and the appropriate reference number are printed all the other entries bearing that reference number. This concordance, for want of a better word, which is not available in manual systems, combines the advantages of reference order with those of index order, and would make it possible to compare the treatment of each document with that of all similar ones. This is the only means available to an editor, other than memory, of checking for consistency in choice.

There are thus three levels of editorial print-out available, rejects only, rejects together with the accepted entries in index form, and rejects together with accepted entries in index form plus concordance in reference order. With the latter two versions additional varieties are possible, for the rejects, adequately marked, can be inserted into the alphabetical order, to give the editor even more access to the underlying documents. The concordance part of the print-out will, of course, always include the rejects whether or not they appear in the alphabetical order. This degree of choice is indicative of the help that can be given by mechanical methods while at the same time it emphasises the necessity, if acceptable standards are to be reached in this field, for editorial interference between the mechanical stages. Eventually one might envisage all this being carried out on-line.

The manual employment of this system on Cabinet Papers has proved reasonably promising. The classification was worked out on the 1938 Papers and an index prepared separately for 1937 was matched against it. Unfortunately, the 1937 index had to be written before the indexing style could be settled from the 1938 papers, and was indeed completed before more than a fraction of the 1938 papers had been examined. Leaving aside consequent differences in style such as the use of cross-entry and the choice of place-names rather than place-adjectives, about half the 1937 subject terms submitted for matching were found to have no place in the classification. The classification was, of course, based on a very small collection consisting of only 297 papers so that this result is not unsatisfactory. The editing of the rejects into the system was very easy on the whole, a good deal of it consisting of the addition of synonyms, though the external classification also required some extension and re-arrangement. It is clear from the experiment that some simple rules for consistency in style are needed in any one series of indexes, even though later indexers should be spared the need to refer constantly to their predecessors' precedents.

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APPENDIX: 1938 CABINET PAPERS¹

CLASSIFICATION

References in square brackets or in capitals are to other terms in the classification: other references are to terms in the index

Armed Forces [War]	Armed forces, Army, Fleet Air Arm, Mobilisation, National Register, National Service, Recruiting, Royal Air Force, Royal Navy, Soldiers, Territorial Army, Volunteer
Art [Recreation]	Antique, Film, Theatre
Commerce [Economics, Foreign Affairs]	Charges, COMMERCIAL ENTERPRISES, Credit guarantees, Credits, Customs, Export, Hire purchase, Import, Industrial property, INDUSTRIAL RELATIONS, Investments, Levy, Marketing board, Marketing control, Nationalization, Preference, Public corporation, PUBLIC UTILITIES, Tariff, Trade
Commercial Enterprises [Commerce]	Advertisements, Agricultural, Agriculture, Antique, Armaments, Bus, Business, Civil aviation, Coal, Commercial broadcasting, Cotton, Dairy, Merchant shipping, Press, Railways, Road haulage
Communications	Broadcasting, Cable communications, Film, FUEL, INFORMATION, Radio, TRANSPORT
Courts [Law]	Chancery Division, Court, King's Bench Division
Crime [Law]	Civil emergency, Fraud, Penal Law, Terrorism
Decoration [Social]	Antique
Economics	Census, COMMERCE, Economic, FINANCE, FOOD, FUEL, INDUSTRY, MANPOWER, PROPERTY, Special areas, Statistics, Statutory control, TECHNOLOGY
Education [Social]	Education, Schools, Teachers, Vocational training
External Affairs	FOREIGN AFFAIRS
Finance [Economics]	Building Societies, Charges, Compensation, Credit guarantees, Credits, Expenditure, Financial, Financing, Insurance, Investments, Pay, Pensions, Public Capital Expenditure, Rates, Rent, Revenue, TAXATION, Unemployment
Food [Economics]	Agricultural, Agriculture, Animals, Bacon, Baking, Dairy, Feeding stuffs, Fish, Food, Mutton, Poultry, Sugar, Wheat
Foreign Affairs [Politics] (External affairs) (<i>See also</i> named countries and areas)	Aliens, British subjects, Colonial, Colonies, COMMERCE, Commonwealth, Covenant, Diplomatic, Disarmament, Empire, Extra-territoriality, Foreign policy, Four Power, Frontier, Guarantee, Influence, Intelligence, International, League of Nations, Locarno, London, Nationality, Pact, Partition, Propaganda, Public opinion, Refugee, Sovereignty, Staff conversations, Strategic, Treaty, WAR
Fuel [Communications, Economics, Technology]	Coal, Electricity supply, Gas supply, Oil, Petrol, Smokeless fuels

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Government [Politics] (<i>See also</i> named governmental bodies)	Acts, Administration, Bills, Census, Civil Emergency, Civil servants, Civil Service, Government, Local authorities, Members of House of Commons, Ministers, Native, Order, Parliament, Plans, POLITY, Procedure, Public Capital Expenditure, Royal Commission, Secrets, Supply, TAXATION
Health [Social]	Atmospheric pollution, Blindness, Deaf, Drinking, Health, Industrial injury, Malaria, Medicine, Mental Defectives, Physical training, Public health, Quinine, River pollution, Sports
Social	Broadcasting, Building Societies, Charitable trusts, EDUCATION, Financial assistance, HEALTH, Housing, INDUSTRIAL RELATIONS, Insurance, LAW, Pensions, RELIGION, Town planning

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Modern Methods of Arrangement of Archives in the United States

By FRANK B. EVANS

National Archives

MORE than a half century ago, at the 1910 International Congress of Archivists and Librarians at Brussels, an American representative called for a "uniform method of classification" for national archives. Deploring the lack of "logical classification," he urged the creation of a "scientific system," which, "though modified to suit local conditions," would, "in its application everywhere, retain a general likeness and uniformity."¹ The history and current status of the attempt in the United States to develop such a system are the subject of this report.²

A FRAME OF REFERENCE

An understanding of any phase of archives administration in the United States requires constant reference to several basic considerations. The first has been the lack of any deep-rooted tradition of methodical recordkeeping by either private organizations or government at any level in the United States. Records were usually regarded as but the means to an immediate end, the conduct of current business, and after they had served this purpose they were simply stored in any available space with no regard for their original order or their relationship to other records of the same agency. To this fact must be added the absence of a fully developed registry system, a pattern of government organization that has always been fluid, and the failure of the National Government to create a separate archival agency for its own records until 1934. These circumstances have posed for the archivist in the United States prob-

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¹ Dunbar Rowland, "The Importance of the Concentration and Classification of National Archives," in J. Cuvelier and I. Stainier, eds., *Actes, Congrès de Bruxelles, 1910*, p. 567, 570-571 (Bruxelles, 1912).

² This report was undertaken at the invitation of Wayne C. Grover and Robert H. Bahmer, then Archivist and Deputy Archivist of the United States, respectively, and with the concurrence of the president and Council of the Society of American Archivists. For invaluable advice and suggestions regarding the report the author is deeply indebted to Ernst Posner and Oliver W. Holmes.

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lems quite unlike those of his European counterpart, and to a large extent American archival policies and practices are the necessary result of American recordkeeping practices.

A second major consideration is the autonomy and the multiplicity, under our Federal system of government, of depositories for archival material. This autonomy has encouraged a remarkable diversity of archival techniques, and even with regard to government archival agencies it is difficult to make valid generalizations. American archivists have always been highly individualistic in their methods; and, perhaps more than in any other country, the unity of the archival profession in the United States is a unity provided rather by a common purpose than by common policies and practices.

To these considerations must be added the strong influence on archives administration exerted by librarians and manuscript curators. Both these professions antedate that of the archivist in the United States. In recent years the library influence has diminished at the national level, but the principles and techniques of library classification and cataloging continue to influence the administration of archives in many State archival agencies and in semipublic and private depositories. Equally influential have been the techniques devised by manuscript curators for handling what are generally called "collections" of "historical manuscripts"—more properly, groups of private papers.

Any attempt to describe, and distinguish among, the great variety of practices of American archivists, librarians, and manuscript curators in the management of public and private archives would require several volumes. The purpose here is but to emphasize the existence of this wide range of practices, to indicate the circumstances out of which they originated, and also to underscore the importance of one final consideration—the instability of archival terminology in the United States. Most American archivists today are concerned not with the classification of archives but rather with the "arrangement" of archives. Our preference for this latter term and its specialized meaning can best be understood through a brief survey of the evolution of the concept of archival classification in the United States.

To recapitulate, it is only within a context of the lack of a strong tradition in methodical recordkeeping, the absence of a fully developed registry system, the fluidity of administrative organization, the relatively late establishment of a national archival agency, the institutional autonomy and procedural diversity encouraged by a Federal system of government, the strong influences exerted by the

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allied professions of the librarian and the manuscript curator, and the lack of a stable terminology that one can attempt to understand any matter archival in the United States. But, regardless of the particular terms used, we share with archivists everywhere the basic problem of control over the material in our custody. If there is much that appears to be novel in our approach to this problem, there is also much that is traditional and that can be recognized as adapted from European principles and practices.

EARLY MOVEMENT FOR A UNIFORM METHOD OF CLASSIFICATION

The history of archives administration in the United States still remains to be written, but much information regarding the early development of archival theory and practice is available in published reports and articles. That history had its real beginnings in the activities of the Public Archives Commission, created in 1899 by the American Historical Association "to investigate and report, from the point of view of historical study, upon the character, contents and functions of . . . public repositories of manuscript records." To avoid duplication of effort with a previously established Historical Manuscripts Commission, the Public Archives Commission agreed to restrict its activities to "documentary material of a public or governmental nature, such as is usually classed under the head of archives, public records, or state papers."³

One of the stated objectives of the commission was "the unification and improvement . . . of methods of . . . arranging and preserving official documentary material," but at its first session the members decided against proposing "any specific and detailed plan for public record keeping" to the States. "So long as conditions present few points of similarity in any two states," concluded the commission:

It is hardly practicable to formulate a scheme which will take account of any considerable number of them, while the proverbial reluctance of American Commonwealths to profit by example makes it unsafe to assume that a scheme that has met approval in one state will, because of that fact, be favorably received in another.⁴

The commission therefore devoted its major efforts for most of the next decade to surveying and compiling lists of archival material in the custody of State and local governments.

³ American Historical Association, *Annual Report . . . for the Year 1900*, 2: 5, 6. Hereafter cited as AHA, *Annual Report*.

⁴ AHA, *Annual Report*, 1900, 2: 10, 24.

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Most of the members of the Public Archives Commission, including the adjunct members it recruited in each State, were professional historians involved in the teaching and writing of history. It was therefore appropriate that the first known plan created specifically for the classification of public archives in the United States was an outline submitted in 1906 by a professor of history to the Historical, Memorial and Art Department of his State. Several years earlier, as an adjunct member of the commission, the author of the plan had prepared a report on the State's public archives.⁵

The classification plan consisted of four parts: a "primary" classification that distinguished between State and local archives, a "formal" classification in terms of either printed or manuscript material, a "historical" classification based upon significant dates in the State's history, and an "administrative" classification that combined elements of each of these parts. In "administrative" classification the public records would first be divided into either State or local. The State archives would then be divided by office of origin; the local archives, by county, township, or city. The material in each of these subdivisions would be classified according to either physical form or subject matter, and the individual items in them would be placed in chronological order.⁶

This plan was adopted as the basis for the classification of the public archives of the State in which it originated, but it was neither endorsed by the Public Archives Commission nor published until some years later, and it had little immediate influence upon the practices of other States. Of greater potential significance in the development of archives administration in the United States were the contemporary activities of another group of professional historians, associated with the new Carnegie Institution of Washington.

Shortly after the creation of the Public Archives Commission the Carnegie Institution of Washington established a Bureau of Historical Research, which undertook the preparation of a series of guides to materials for American history in the major archives and libraries of Europe. Through this program many American scholars acquired a firsthand knowledge of European archival prin-

⁵ The plan for classification was submitted by Prof. Benjamin F. Shambaugh to the Iowa State Historical, Memorial and Art Department; Cassius C. Stiles, *Public Archives: A Manual for Their Administration in Iowa*, p. 21-22 (Des Moines, 1928). See also Shambaugh's "Report on the Public Archives of Iowa," in AHA, *Annual Report*, 1900, 2: 39-46.

⁶ The plan is published in Ethel B. Virtue, "Principles of Classification for Archives," in AHA, *Annual Report*, 1914, 1: 376-377.

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ciples and techniques, and—because of the close relationship among the bureau of Historical Research, the American Historical Association, and the Public Archives Commission—these scholars were able to persuade the Public Archives Commission to reconsider its initial decision against seeking uniformity in archival practices in the United States.

At the first Conference of Archivists, sponsored by the commission in 1909, Waldo G. Leland recommended preparation of a manual of archival practice for American archivists. With respect to classification he proposed that "in general, the principle enunciated by the Dutch, and adhered to in most European countries, the 'herkomstbeginsel,' the 'respect des fonds,' or 'principe de la provenance,' should be adopted." Archives, he explained, "should be classified according to their origin; they should reflect the processes by which they came into existence." In a direct attack upon existing practices he warned that "nothing could be more disastrous than the application of modern library methods of classification to a body of archives."⁷

The Public Archives Commission accepted the recommendation for preparation of a manual and assigned the planning responsibility to a subcommittee. In the following year several commission members and other interested scholars participated in the 1910 Brussels International Congress of Archivists, thus strengthening the potential influence of European experience upon the content of the proposed manual.⁸ Opposition was encountered, however, not only from librarians, who were committed to subject classification, but also from manuscript curators, who insisted that since European problems were not identical with American problems a study of European "plans and conclusions" would not result in conclusions "satisfactory" to American archival activity.⁹ This basic disagreement impeded progress for nearly 2 years, but at the 1912 Conference of Archivists the views of the historians finally prevailed. All

⁷ Waldo G. Leland, "American Archival Problems," in AHA, *Annual Report*, 1909, p. 346; see also Leland, "The First Conference of Archivists, December 1909: The Beginning of a Profession," in *American Archivist*, 13: 109-120 (Apr. 1950).

⁸ See particularly Cuvelier and Stainier, eds., *Actes, Congrès de Bruxelles, 1910*, p. 463-467, 565-572, but compare p. 112-117, 660. See also Arnold J. F. Van Lear, "The Work of the International Congress of Archivists and Librarians at Brussels, August 28-31, 1910," in AHA, *Annual Report*, 1910, p. 282-292, which reported (p. 285) that the Congress had adopted the principle of provenance "as the basis of arrangement and classification of archives."

⁹ Thomas P. Martin, "Control of Manuscripts and Manuscript Collections," in Society of American Archivists, *Proceedings, Providence, R.I., December 20-30, 1936 and Washington, D.C., June 18-19, 1937*, p. 28 (Urbana, Ill., n.d.); hereafter cited as SAA, *Proceedings*, 1936-37. See also AHA, *Annual Report*, 1910, p. 298.

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archives, declared Dr. Leland at that conference, "are produced in the same way, have the same need for preservation and administration, and meet the same fate if neglected." It was therefore obvious, he insisted, that "the principles of archive economy evolved in European practice" were "applicable to American archives."¹⁰

The subcommittee report on the proposed manual submitted at that conference called for 20 chapters to be written by various specialists, including a chapter on "Classification: Systematization and Notation." In discussing plans for this particular chapter, the subcommittee chairman asserted that archivists could "learn almost nothing from schemes of library classification made for books" and advanced the principle of provenance as the only sound basis for the classification of archives.¹¹ The initial controversy had been won by the scholars familiar with European experience, but it should be noted that few of these men were heads of archival agencies.

In the following year, at the 1913 Conference of Archivists, the plans for the archives manual were revised to provide for a less comprehensive "primer" of 10 chapters, but a separate chapter would still be devoted to classification. Drafts of two chapters that had been prepared on other topics were discussed at the conference.¹² At the 1914 conference a paper was read on "Principles of Classification for Archives." After reviewing European experience and citing the recommendations of the 1910 Brussels Congress, the author of this paper concluded that "the principle 'respect des fonds' . . . is the established principle of archival classification to-day." The 1906 plan of classification previously discussed was then offered as a "very simple and concrete illustration" of the principle of provenance as adapted to the archives of one State,¹³ but neither the conference nor the Public Archives Commission took any formal action regarding this plan of classification.

The outbreak of World War I spelled the failure of this early movement to create a uniform system of archives administration in the United States. The war diverted the attention of the Public Archives Commission to the problem of war records, and the commission itself was suspended during the immediate postwar years. When the commission was revived on a limited basis in 1921, most

¹⁰ Waldo G. Leland, "Some Fundamental Principles in Relation to Archives," in AHA, *Annual Report*, 1912, p. 265; but compare Martin, "Control of Manuscripts," p. 28-29.

¹¹ Victor Hugo Paltsits, "Plan and Scope of a 'Manual of Archival Economy for the Use of American Archivists,'" in AHA, *Annual Report*, 1912, p. 254, 260.

¹² AHA, *Annual Report*, 1913, 1: 261-265.

¹³ Virtue, "Principles of Classification," in AHA, *Annual Report*, 1914, 2: 374-376.

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of the scholars who had promoted its activities had already become involved in other projects, particularly in the movement for a national archives building and the creation of a separate national archival agency. Several attempts were made to revive the project for the primer on archival practice, but the primer was never completed and the chapter on classification remained unwritten.¹⁴

CLASSIFICATION ON TRIAL

Except in the area of promoting uniform policies and practices, the efforts of the Public Archives Commission on behalf of the cause of archives in the United States were remarkably successful. As a direct result of its activities many States adopted basic archival legislation, and archival agencies were eventually established in nearly 30 States. The methods adopted by these new agencies for the organization and control of their archival holdings, however, were frequently the result of circumstance rather than of choice. In States where archival responsibility was given to the State libraries subject classification was usually adopted, while assignment of archival responsibility to State historical societies frequently resulted in archives organized on the pattern of historical manuscripts. The subject classification of archives in accordance with library principles requires no explanation, but some discussion of the handling of archives as historical manuscripts may be necessary.

The most widely adapted practices of this type were those of the Manuscript Division of the Library of Congress, which in 1903 had been authorized to select and accept archival material of the Federal Government. These practices, as explained in a manual first published in 1913, were based upon the following premises:

[1] . . . *official* papers transferred to the archive bureau from government files should be papers whose administrative value has disappeared and that are officially dead—i.e., papers that actual practice has shown are no longer consulted for administrative purposes.

[2] . . . *official* papers under the control of the archivist come to him usually with an arrangement and indexing born of administrative necessity, and in no wise competent to answer the needs of the historical investigator.

[3] Experience, and by this is meant not the experience of the investigator or user of the manuscripts, but of the archivist, the actual curator of the docu-

¹⁴ See particularly Paltsits, "An Historical Résumé of the Public Archives Commission From 1899 to 1921," in AHA, *Annual Report*, 1922, 1: 152-160, and his "Pioneering for a Science of Archives in the United States," in SAA, *Proceedings*, 1936-37, p. 41-46.

ments, who is called upon dozens of times a day to locate and produce individual papers and who alone fully comprehends the difficulties of the task, has demonstrated that the strict chronological arrangement by years, months, and days is the only perfectly satisfactory one.

The Manuscript Division therefore advised that "in arranging a large mass of official papers":

The logical method of a chronological order under the various departments from which they emanate is best. . . . The minuteness of this classification will, of course, depend upon the size of the collection; ordinarily the main divisions only of the three coordinate branches [executive, legislative, and judicial] need be considered.

It further advised that if the volume of material was not too large—"only a hundred or so manuscripts . . . representing almost as many subdivisions and bureaus"—the archivist should "ignore a classification more complex than the material itself and arrange the papers in one chronological order, working out the governmental classification, if need be, in the card catalogue."¹⁵

A few scholars may have understood the organic character and value of archives, but to many American archivists public records no longer needed for current administrative purposes were but historical manuscripts of official origin. The Library of Congress as the official depository for the archives of the National Government provided the example, and the apparent logic and obvious simplicity of its policies and practices insured their wide adoption by other depositories. Thus, the director of one State archival agency, notwithstanding his earlier participation in the 1910 Brussels Congress, declared:

The object to be attained in the arrangement of all governmental archives is to classify them in such manner that the documents will tell the story, in an historical way, of the progress and development of the State and its people from the beginning.

This object, he insisted, could be achieved "only by a chronological method of classification."¹⁶ And in the State that had adopted the 1906 plan of classification, that plan had been transformed by 1928

¹⁵ The above statements are quoted from Library of Congress, *Notes on the Care, Cataloguing, Calendaring, and Arranging of Manuscripts*, by J. C. Fitzpatrick, p. 4, 10, 13-14 (3d ed.; Washington, 1928). For a case study of the application of these policies and practices to the archives of one State, see Frank B. Evans, "The Many Faces of the Pennsylvania Archives," in *American Archivist*, 27: 269-283 (Apr. 1964).

¹⁶ Dunbar Rowland, "The Adaptation of Archives to Public Use," in AHA, *Annual Report*, 1912, p. 270.

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into "a combination of the subject and chronological systems, with the alphabetical arrangement added."¹⁷

Archival theory and practice in the United States thus made no discernible progress during the two decades after the outbreak of World War I.¹⁸ The success of the movement for a separate national archives, climaxed by passage of the National Archives Act in 1934, however, revived interest and activity in the field of archives. The establishment of the National Archives was followed by another cycle of surveys, this time of records of the Federal Government in and outside Washington. This "stocktaking" of noncurrent records where they lay was of major importance in the development of descriptive techniques; and, because it attempted to identify and describe records in terms of their agency of origin, it was also important in redirecting attention to the organizational approach to the control of record material.¹⁹ An even broader Historical Records Survey, embracing historical manuscripts throughout the country, had similar consequences, but the influence of subject classification continued to be strong. In the inventories resulting from this survey, offices where "historical records" were located were arranged in a "logical" sequence, and the records of each were grouped under general subject headings, with occasional cross-references between similar subject headings under different offices. These represented, in the opinion of the national director of the survey, "merely a beginning in this matter of subject classification."²⁰

¹⁷ Stiles, *Public Archives . . . in Iowa*, p. 24-25; compare Virtue, "Principles of Classification," p. 3-6. See, however, Waldo G. Leland, "Report on the Public Archives and Historical Interests of the State of Illinois," in *Illinois State Education Building Commission Report*, p. 21-53 (Springfield, 1913); and Theodore C. Blegen, *A Report on the Public Archives* (Wisconsin State Historical Society, *Bulletin of Information* no. 94; Madison, Wis., 1918).

¹⁸ This conclusion is based on a study of available published material. For evidence of the continuing interest in classification, however, see David W. Parker, "Some Problems in the Classification of Departmental Archives," in *AHA, Annual Report*, 1922, 1:164-172, which explained Canadian practices; see also the last two items cited in note 17.

¹⁹ See particularly Philip M. Hamer, "Federal Archives Outside the District of Columbia," in *SAA, Proceedings, 1936-37*, p. 83-89; and National Archives, *Survey of Federal Archives: the Manual of the Survey of Federal Archives* (Washington, 1936).

²⁰ Luther H. Evans, "Next Steps in the Improvement of Local Archives," in *Public Documents With Archives and Libraries*, p. 283 (American Library Association, Chicago, 1937). See also his "Archival Progress in the Historical Records Survey," in *SAA, Proceedings, 1936-37*, p. 90-95; Sargent B. Child, "Status and Plans for Completion of the Inventories of the Historical Records Survey," in *Archives and Libraries, 1940*, p. 12-25; Margaret S. Eliot, "Inventories and Guides to Historical Manuscript Collections," *ibid.*, p. 26-35; Herbert A. Kellar, "An Appraisal of the

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The major activity with regard to classification took place in the new National Archives, which in 1935 created a Division of Classification as part of its internal functional organization. This Division was charged with:

Conducting basic investigations into technical classification methods in institutions of comparable character and size and with analyzing and interpreting such studies as it finds may affect the final classification procedure to be adopted by The National Archives; with determining the chronological duration of all Government departments and independent agencies and their subdivisions and of the archival series created by them; with making a complete survey and analysis of the various classification plans now in use in the different agencies of the Federal Government; with organizing these classification schemes so as to permit their temporary use for general classification purposes; with developing a logical and comprehensive classification plan based upon the foregoing studies; and with devising a numbering system that will positively identify each archival series in the various collections transferred to The National Archives.²¹

After a year of "general consideration" of the problems of classification and study of existing systems, the Division concluded that "since the scheme evolved for any agency cannot by the very nature of things be used for any other agency because of the differences in function and methods of handling and preserving the documents, the work of classifiers of archival material consists of the continuous formation of schemes of classification into which the records can be fitted." The Division nevertheless remained committed to the ideal of a single overall scheme of classification for the National Archives, one that would "present a logical organization of the papers deposited therein" and that would "show their interrelationships and the functional development of the governmental agencies that produced them."²²

In view of these developments, the National Archives decided that no "detailed cataloging" of its "collections" would be possible for many years. The organization of the Government had simply been too fluid and too complex; the volume of records to be analyzed in terms of organizational relationships was too great; there were too many decentralized files involving a wide variety of classi-

Historical Records Survey," *ibid.*, p. 44-59; and David L. Smiley, "The W.P.A. Historical Records Survey," in William B. Hesseltine and Donald R. McNeil, eds., *In Support of Clío: Essays in Memory of Herbert A. Kellar*, p. 1-28 (Madison, Wis., 1958).

²¹ National Archives, *First Annual Report of the Archivist of the United States for the Fiscal Year Ending June 30, 1935*, p. 15; see also p. 21, 28-29. Hereafter cited as NA, *Annual Report*.

²² NA, *Annual Report*, 1936, p. 45-47; 1937, p. 18.

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fication or filing systems; and the materials that had been transferred to the custody of the National Archives were too frequently disorganized. In the meantime its Division of Cataloging would simply catalog all material by accessions as it was received.²³

The first practical test of the National Archives classification program was made during 1936-37. By this time it had been decided that the classification scheme "for the entire body of records of each agency" would consist of "a brief history of the agency and its records," a listing of "the series of documents in accordance with the organization as determined," and "the classification symbol assigned to each series." The Division of Classification, in accordance with this plan, completed a "classification scheme for each of the forty-odd divisions of the Washington office of the United States Food Administration, which involved the study and arrangement of 2,850 different series." To each of these series was assigned a classification symbol consisting of three parts:

- (1) A name or series of letters identifying the agency concerned;
- (2) a number indicating the basic division of the agency and, if necessary, a letter indicating the section or subsection; and
- (3) a combination of a letter and a number, the former indicating the group of records or the subdivision of the agency and the latter indicating the series of documents within that group.²⁴

This system of classification, in the judgment of one European-trained observer, was "wholly unlike the French system of rationalization of the same name."²⁵ It was equally unlike any other system that had been developed in the United States. In essence it was based upon the exclusive and rigid application of the organizational approach to the control of records, with an agency's organizational pattern used to identify each of its records series through the application of elaborate symbols. It should be noted, moreover, that nothing in this system violated the principle of provenance.

The establishment of the National Archives also helped revitalize the annual Conference of Archivists, and in 1936 the conference was expanded and transformed into the independent Society of American Archivists. In the proceedings and in the papers

²³ NA, *Annual Report*, 1937, p. 18; 1938, p. 24.

²⁴ See NA, *Annual Report*, 1937, p. 18; 1938, p. 25. See also Roscoe R. Hill *et al.*, "Round Table Discussion on 'Problems of Classification,'" in SAA, *Proceedings*, 1936-37, p. 52-53.

²⁵ Ernst Posner, "The Development and Problems of Archival Administration in the United States," p. 18 (an unpublished translation by Paul Lewinson from *Drei Vorträge zum Archivwesen der Gegenwart*, Stockholm, 1940).

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read at the annual meetings of the new Society the long interrupted debate over the classification of archives was renewed among archivists, librarians, and manuscript curators. At one extreme were those who still regarded archives, particularly those of private origin, as historical manuscripts and called for "adoption of chronological and alphabetical principles, in combination with subject or geographical classification," as the most "practical" solution, while at the other extreme were National Archives staff members who insisted that archives should not be classified "by subject, but by . . . agencies and the subdivisions of these agencies."²⁶ Between these extremes lay a wide range of opinion and practice. All were agreed that archival classification was something different from library classification, but beyond this point there was very little agreement.²⁷

This debate over classification again demonstrated the need for some uniformity in archival terminology. The published papers included, among other terms, the frequent use of the terms—intended to be synonymous—"congeries," "groups," "sets," "serials," and "series," and of the terms "archives," "historical manuscripts," "records," "papers," "files," and "documents"; they used the term "classification" with reference to filing systems and to the life cycle of records; and they frequently made no distinction between "classification" and "arrangement" and even referred to "classified arrangement."²⁸ The Society of American Archivists did appoint a committee on terminology, but it could obtain agreement neither

²⁶ Herbert A. Kellar, "The Significance and Use of Business Archives," in SAA, *Proceedings, 1936-37*, p. 38; John R. Russell, "Some Problems in Cataloging Archives," in *Public Documents With Archives and Libraries*, p. 288.

²⁷ See particularly Hill *et al.*, "Round Table Discussion," p. 52-59; Dorsey W. Hyde, Jr., "Essential Functions in the Organization of the National Archives," in *Public Documents With Archives and Libraries*, p. 259; Margaret C. Norton, "Scope and Functions of a State Archives Department," *ibid.*, p. 266-268, "The Training of Archivists (Informal Discussion)," *ibid.*, p. 298-305; Illinois State Library, *Catalog Rules: Series for Archival Material*, comp. by Margaret C. Norton (Springfield, 1938); Evangeline Thurber, "Suggestions for a Code for Cataloging Archival Material," in *Archives and Libraries, 1939*, p. 42-53; Grace L. Nute, "Suggestions for a Code for Cataloging Historical Manuscript Collections," *ibid.*, p. 54-63; Roscoe R. Hill, "Classification in the National Archives," in *Archives and Libraries, 1940*, p. 60-77; Margaret C. Norton, "Classification in the Archives of Illinois," *ibid.*, p. 78-92; Solon J. Buck, "Essentials in Training for Work With Public Archives and Historical Manuscript Collections," *ibid.*, p. 114-122, with discussion by Miss Norton, p. 123-126; Howard H. Peckham, "Arranging and Cataloging Manuscripts at the William L. Clemens Library," in *American Archivist*, 1: 215-229 (Oct. 1938); John R. Russell, "Cataloging at the National Archives," *ibid.*, 2: 169-178 (July 1939); Almon R. Wright, "Archival Classification," *ibid.*, 3: 173-186 (July 1940); and Ruth K. Nuernberger, "A Ten Year Experiment in Archival Practice," *ibid.*, 4: 250-261 (Oct. 1941).

²⁸ These terms and their various uses appear in the articles cited above in notes 26 and 27.

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on a proposed set of devised terms nor on the common use of existing terms.²⁹ Such agreement still does not exist in the United States.

The debate also revealed basic disagreements regarding classification within the National Archives. In a closely reasoned discussion of classification problems, one staff member concluded that what was actually involved in the National Archives program was not the application of an intellectual scheme to a body of records, but rather "the assignment of names and placement" of record series in accordance with "determinations of objective fact." He therefore proposed a redefinition of classification to mean:

The objective determination, by the appropriate techniques of legal and historical research (when necessary), of the agency of origin and agency or agencies of custody of a group of records, the similar determination of the functional types of records represented in the collection, and their boundaries, temporally, geographically, or otherwise objectively delimited.³⁰

Other scholars on the National Archives staff approached the classification problem in terms of its European background. Several studies were made of policies and practices in both Eastern and Western Europe, and one of these studies, on "European Archival Practices in Arranging Records," was published by the National Archives in 1939 as a Staff Information Circular. Based largely upon an analysis of manuals and of articles in professional journals, this study surveyed archival theory and practice in France, Prussia, the Netherlands, Denmark, Sweden, and England. It concluded that "beyond doubt" the "rather elementary principle of *respect des fonds*" was "a first principle of archival economy," but it then discussed Carl Gustaf Weibull's widely publicized critical examination of some of the "theoretical superstructures" that had been built upon this principle and the responses to Weibull of R. Fruin and Georg Winter.³¹ The author of the study then concluded that in view of American archival conditions:

The principle developed by the Prussian archivists and elaborated by the Dutch, that the original order developed in registry offices must be maintained.

²⁹ See Roscoe R. Hill, "Archival Terminology," in *American Archivist*, 6: 206-211 (Oct. 1943); and Jacob Hodnefield, "Archives—What Are They?" *ibid.*, 7: 128-129 (Apr. 1944). See also Theodore R. Schellenberg, *Modern Archives: Principles and Techniques*, p. 11 (Chicago, 1956); and Oliver W. Holmes, "Public Records—Who Knows What They Are?" in *American Archivist*, 23: 3-26 (Jan. 1960).

³⁰ Paul Lewinson, "Problems of Archives Classification," in *American Archivist*, 2: 183-184 (July 1939).

³¹ Theodore R. Schellenberg, *European Archival Practices in Arranging Records*, p. 1-17 (National Archives, Staff Information Circular no. 5; July 1939).

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appears to have in the main an academic interest only. While the greater proportion of records developed by European governments are organized in registry offices before their release to archival institutions, the greater proportion of the records of the Federal Government of the United States are left in a disorganized state . . . The basic condition, therefore, is generally lacking by which the principles of the German and Dutch archivists concerning the preservation of the original order created by a registry office can be made to apply.

After questioning both the need and the advisability of reconstructing the original order even within individual series and pointing out that "if records are organized by recordkeeping units at the present time, it is generally according to a modification of the Dewey decimal system of subject classification which does not clearly reflect the administrative organization or development of the agency that produced them," the author finally concluded:

No archival principles should be "ridden to death," literally to become fetishes which will prevent a common-sense arrangement of records designed to promote the research needs of scholars and government officials. And since European archival principles cannot be applied indiscriminately without becoming fetishes, it therefore may be necessary that there be evolved with respect to the arranging of records rules that will be the result of a cognizance of American record conditions. . . . Since European archival conditions have made necessary numerous exceptions to the application of any principles that were developed, certainly no rigid adoption of abstract principles in the United States, where records are infinitely more complex and disorganized than those in Europe, would be justified without a consideration of the actual record conditions.³²

Of all of the proposals advanced to meet American record conditions, that of "functional" as opposed to organizational classification proved to be the most important. While conceding that the administrative history of the agency reflected by an organizational classification of its archives "may conceivably be very interesting," one advocate of the functional approach insisted that this exclusive emphasis upon organization overlooked "the fundamental purpose of classification, whether of books or documents, i.e., to make the material available to searchers."³³

Necessarily it depends upon the unwarranted assumption that the searcher knows as much about the administrative history as did the classifier on the day that he created the classification scheme. Of course, the very fact that

³² *Ibid.*, p. 17-18.

³³ Those and the following quotations are from E. G. Campbell, "Functional Classification of Archival Material," in *Library Quarterly*, 11: 431, 434-440 (Oct. 1941).

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this history is usually so obscure that its discovery takes months of detailed research indicates the fallacy of this hypothesis.

The alternative he proposed was classification of archives "in accordance with the various aspects of the function which they severally represent," although he acknowledged that in practice "the administrative approach will be most convenient in designating fonds." Classification would then simply become "a process of determining the functions performed by any given agency, determining the different formal types of records that agency accumulated, then arranging the series in a rational order in groups which will emerge from the pattern thus established." This functional approach was urged as much better suited to the handling of the vast quantities of complex and unorganized records generated by the National Government, as a great timesaving device since it eliminated the need for minute research, and as a means of simplifying the use of symbols, which had become increasingly complicated. Echoing the refrain of earlier critics of the National Archives classification system, the author of this proposal declared that "new techniques must be evolved to meet problems that were not seen by the European theorists."²⁴

FROM CLASSIFICATION TO ARRANGEMENT

A rigid organizational classification, based on detailed research in administrative history, had been tried by the National Archives and had been found difficult of practical application. In abandoning this experiment in classification, however, theoretical considerations were less decisive than administrative needs. In the original organization of the National Archives, responsibility for preparing different types of finding aids had been shared by five separate operating units—the Divisions of Accessions, Research, Classification, and Cataloging and the Office of the Director of Publications; and by the custodial divisions as well. After 5 years' effort the Division of Classification had produced classification schemes for the records of less than half a dozen agencies, most of them temporary World War I agencies, and the work of the other units had

²⁴ The repeated references to European theorists reflected the renewed interest in European policies and practices resulting from the publication in 1937 of the second edition of Hilary Jenkinson, *A Manual of Archive Administration* (London, 1937), and the publication in 1940 of Arthur H. Leavitt's translation of the second (1920) Dutch edition of the manual of Samuel Muller, J. A. Feith, and R. Fruin as *Manual for the Arrangement and Description of Archives* (New York, 1940). This interest also resulted in draft translations by National Archives staff members of numerous articles in archival journals of both Eastern and Western Europe, and in the compiling of select annotated bibliographies on all phases of archival administration.

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similarly fallen behind. In addition, these units had become largely autonomous in their operations. There was need not only to co-ordinate and supervise their finding aid work but also to use "the knowledge based upon experience in the Division of Reference and elsewhere in attempting to secure information from records."²⁶

Early in 1940 a committee of staff members was appointed "to make a study of finding mediums and other instruments to facilitate the use of records in the custody of the Archivist."²⁶ This study committee "received statements from and held numerous meetings with members of the staff, studied existing mediums, and considered the results of European experience." It submitted its recommendations to the Archivist early in 1941, and these recommendations, which "provided the basis for a new systematic program for the preparation of finding mediums," were issued by the Archivist as "Directions" to the National Archives staff.²⁷ One of the directions stated simply that "the preparation of . . . classification schemes shall be discontinued."²⁸

Apart from detailed instructions on how the new program was to be put into operation, the directions provided that cataloging by accessions would be discontinued and would be replaced with cataloging by record groups. The term "record group" was defined as "a major archival unit established somewhat arbitrarily with due regard to the principle of provenance and the desirability of making a unit of convenient size and character for the work of arrangement and description and the publication of inventories." All material in the custody of the Archivist was to be assigned to registered record groups. The record groups were to be described by the divisions having custody of them in "preliminary" inventories and ultimately in "final" inventories, and other types of finding mediums were to be prepared "as need arises."²⁹

This new program of arrangement and description—the two terms have since been frequently linked in American usage—was

²⁶ Philip M. Hamer, "Finding Mediums in the National Archives: An Appraisal of Six Years' Experience," in *American Archivist*, 5: 85-86 (Apr. 1942). Compare Posner, "Development and Problems of Archival Administration in the United States," p. 14-15; and Hill, "Classification in the National Archives," p. 67-68.

²⁷ NA, *Annual Report*, 1941, p. 28.

²⁸ *Ibid.*, p. 28; compare Hamer, "Finding Mediums," p. 87-88.

²⁹ NA, *Annual Report*, 1941, p. 65. In the report for 1940 the usual section on "Classification" had already been replaced by a section on "Arrangement and Description of Records," but the section on "Cataloging" had been retained; NA, *Annual Report*, 1940, p. 25, 28. The Division of Classification and the Division of Cataloging were both discontinued in March 1941, and their staffs were distributed among other operating divisions; NA, *Annual Report*, 1941, p. 39.

³⁰ *Ibid.*, p. 65-67; compare Hamer, "Finding Mediums," p. 88-89.

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defended on practical grounds. It had obvious administrative values in a large organization; it was based "not on theory alone, but chiefly upon considerable experience and upon careful consideration of the views of many individuals"; it met the "pressing need for immediately available and usable finding mediums" while still providing for the "ultimate preparation, as circumstances permit, . . . of more nearly definitive finding mediums"; it was flexible; and it gave "adequate consideration . . . to the special circumstances of varied nature which characterize record groups and parts thereof." While admittedly "devised to fit the special needs of the National Archives," the program was regarded as "at least highly suggestive to other archival institutions."⁴⁰

The new program was barely launched by the National Archives before the United States entered World War II. The demands of war bore heavily upon its staff and its programs, and the immediate postwar years necessarily were devoted largely to the problems created by the tremendous record accumulations generated during the worldwide conflict and its aftermath. Out of this experience emerged an expanded National Archives and Records Service under a new General Services Administration, and it was not until 1950 that the task of fully implementing the arrangement and description program could be resumed.

Beginning in 1950 a series of *Staff Information Circulars* and (later called *Staff Information Papers*) was prepared for internal use.⁴¹ These papers necessarily emphasized the practical application of principles of arrangement and description to the records of the National Government. With few exceptions, however, the principles enunciated were actually administrative decisions that have since been modified or changed to meet circumstances and needs. The arrangement practices and techniques developed by the National Archives during this period were later provided with a theoretical and practical foundation by Theodore R. Schellenberg in his *Modern Archives: Principles and Techniques*,⁴² but in some respects Dr. Schellenberg's manual has been superseded by his

⁴⁰ *Ibid.*, p. 91-92.

⁴¹ National Archives, *The Preparation Of Preliminary Inventories* (Staff Information Circular no. 14, May 1950); *The Control of Records at the Record Group Level* (Staff Information Circular no. 15, July 1950); *The Preparation of Lists of Record Items* (Staff Information Paper no. 17, 1951; revised Dec. 1960); *Principles of Arrangement* (Staff Information Paper no. 18, June 1951).

⁴² See particularly p. 17-25, 52-64, which use the term "classification" in reference to the management of current records, and p. 168-193, on "Principles of Arrangement."

later writings or should be supplemented by other writings published by National Archives staff members.⁴³ The essence of the concept of arrangement is its flexibility, and there is every indication that out of need and experience will emerge still further modifications as it is applied to archival material at other levels of government and to private papers.

The "basic principle of arrangement" is still *respect des fonds*, in the sense that "every document will be traced to its origin and will be maintained as part of a group having the same origin." In practice it "requires that the records of different creating agencies and offices be kept separate and never mixed."⁴⁴ This principle is basic to the concept of the record group, but the application of the record group concept also involves consideration of the volume and complexity of the pertinent records. These usually determine the organizational level within the agency at which record groups are established, and it is this flexibility which permits adaptation of the record group concept to the archives of every type of records creator.

Within the record group a second principle is applied—*respect pour l'ordre primitif*. Since in the United States record series are not usually given a designated order by a registry office during their current use, the principle of respecting the original order can be applied directly only to the filing units within series. Our series are more easily identified than defined, but essentially they are composed of "similar filing units arranged in a consistent pattern within which each of the filing units has its proper place." With very few exceptions the original order of filing units within the series is preserved if there is an original order, and obvious displacements within that order are corrected.⁴⁵

The concept of arrangement, however, is much broader than this relatively simple application of two basic principles. The current meaning of the term is best summarized in a recent article by

⁴³ See Theodore R. Schellenberg, "Arrangement of Private Papers," in *Archives and Manuscripts*, [1]: 1-20 (Aug. 1957); and his "Archival Principles of Arrangement," in *American Archivist*, 24: 11-24 (Jan. 1961). See also Kenneth W. Munden, "The Identification and Description of the Record Series," *ibid.*, 13: 213-227 (July 1950); and Sherrod East, "Describable Item Cataloging," *ibid.*, 16: 291-304 (Oct. 1953).

⁴⁴ *Staff Information Paper* no. 18, p. 2; Oliver W. Holmes, "Archival Arrangement—Five Different Operations at Five Different Levels," in *American Archivist*, 27: 23 (Jan. 1964). The summary of the current concept of arrangement included in the present report is based largely upon this article by Dr. Holmes.

⁴⁵ *Ibid.*, p. 23, 30; compare Schellenberg, "Archival Principles of Arrangement," p. 23-24.

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Oliver W. Holmes as involving "five different operations at five different levels." These operations include:

1. *Arrangement at the depository level*—the breakdown of the depository's complete holdings into a few major divisions on the broadest common denominator possible and the physical placement of holdings of each such major division to best advantage in the building's stack areas. . . .

2. *Arrangement at the record group and subgroup levels*—the breakdown of the holdings of an administrative division or branch (as these may have been established on the first level) into record groups and the physical placement of these in some logical pattern in stack areas assigned to the division or branch. This level should include the identification of natural subgroups and their allocation to established record groups.

3. *Arrangement at the series level*—the breakdown of the record group into natural series and the physical placement of each series in relation to other series in some logical pattern.

4. *Arrangement at the filing unit level*—the breakdown of the series into its filing unit components and the physical placement of each component in relation to other components in some logical sequence, a sequence usually already established by the agency so that the archivist merely verifies and accepts it.

5. *Arrangement at the document level*—the checking and arranging, within each filing unit, of the individual documents, enclosures and annexes, and individual pieces of paper that together comprise the filing unit and the physical placement of each document in relation to other documents in some accepted, consistent order.⁴⁶

These operations involve the records themselves, apart from their containers, but they "establish the order of sequence in which records ought to be placed in containers and in which the containers ought to be labeled and shelved." Only with the completion of all of these steps, concludes Dr. Holmes, may it be said that the archival holdings of a depository are under control. "This control may never be established completely (sometimes arrangement at the filing unit or document level may never be fully carried out), but it must be established to an acceptable degree before records description work is possible because finding aids have to refer to specified units in an established arrangement."⁴⁷

This exposition of the arrangement function postulates a general archival agency holding the unorganized archives of many different records creators—the usual situation in the United States. Arrangement and the resulting control then proceed from the depository level down to the individual item level. Institutions holding both

⁴⁶ Holmes, "Archival Arrangement," p. 23, 23-24.

⁴⁷ *Ibid.*, p. 24; compare *Staff Information Paper* no. 18, p. 3.

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public records and private papers should obviously first separate their holdings of each of these types of materials and keep them separate. The entire arrangement program requires a maximum of flexibility. At the depository level, for example, arrangement in the sense of apportioning record groups can be done chronologically or hierarchically (according to major government organizations), or on the basis of levels of government (such as central or local), or any combination of these. Frequently, "the size and arrangement of storage areas, the physical nature of the records themselves (often necessitating special areas in the case of technical records such as maps, pictures, and film), the reference activity of the records, the degree of security to be given them, and the number and caliber of personnel needed to work with them" will influence the actual division that is made.⁴⁸

In arrangement at the record group level, the National Archives usually unites records of subordinate offices under their superior offices up to the bureau level. To avoid creation of an unmanageable number of record groups, the records of diplomatic and consular posts, for example, or those of smaller and often temporary agencies performing similar functions, such as claims commissions, are grouped together into "collective record groups." From its holdings in 1943 the National Archives initially established 206 record groups, and as a result of further studies and accessions it now has about 350. The flexibility and administrative value of the record group concept are demonstrated by its successful application to such holdings as gift motion pictures and private papers. A record group may be variously defined by different institutions, concludes Dr. Holmes,

so long as the definition is applied consistently throughout the establishment. Some such concept is needed in all archival depositories having the care of records created by many different agencies and organizations. Once established, record groups are usually the basic units for administrative control; that is, for arrangement, description, reference service, and statistical accounting and reporting.⁴⁹

Under the record group concept any particular unit of records can belong to only one record group. Each new accession is allocated to its proper existing record group or, if it is not part of an existing one, to a new record group. With the exception of special

⁴⁸ Holmes, "Archival Arrangement," p. 25; see also *Staff Information Paper* no. 18, p. 4-7.

⁴⁹ Holmes, "Archival Arrangement," p. 27. See also Ernst Posner, "The National Archives and the Archival Theorist," in *American Archivist*, 18:211 (July 1955).

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physical types of records, all records belonging to the same record group are kept together in the stack area. The subgroup concept is used to distinguish among, and to control the records of, the subordinate offices that have been united to constitute the record group.⁵⁰

Arrangement at the series level, in the sense of working out a logical order of series with relation to each other, is the most difficult part of this program. Under American recordkeeping practices the originating agency rarely establishes a set order for series within a record group. It is at this point that the archivist must have a knowledge of the administrative history of the agency and of the records themselves. He must first determine what are the series in any given record group and subgroup and then must give these series a "meaningful" physical order. Because of our system of recordkeeping there can be no "one perfect arrangement sequence" for series. Whenever possible the Dutch rules regarding "backbone" and correspondence series are applied. Agency-created indexes or other controls or finding media are placed close to the series to which they apply, and series of operating or substantive records are usually placed before series of housekeeping and facilitative records.⁵¹

In arriving at an arrangement for substantive records, "functions and the sequence of action within functions" are frequently the determining factor, but in large record groups series may be grouped "according to chronological periods, by major breaks in the filing systems, or on a functional basis." The final arrangement of series should be "not only logical but revealing of any agency's history and accomplishments."⁵² The flexibility of the concept of arrangement as applied at the series level—a flexibility required by American recordkeeping practices—thus permits the archivist to use—either individually or in combination—chronological, organizational, or functional "classification," as that term has been used frequently in the United States. Because of American record conditions, arrangement at this level must be a constructive rather than simply a preservative kind of arrangement. It is this kind of constructive arrangement that characterizes the task of the American archivist, and it is his major contribution in making archives usable while still preserving their integrity.

Arrangement at filing unit level has already been discussed, but

⁵⁰ See *Staff Information Paper* no. 18, p. 7-10.

⁵¹ *Ibid.*, p. 10-12.

⁵² Holmes, "Archival Arrangement," p. 29, 32.

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it should be noted that physical rearrangement "to serve more efficiently . . . longterm reference demands" is permitted when it does not essentially violate the integrity of the records, or when "records have been so badly disarranged that the original organization cannot be fully restored with confidence unless excessive time is spent in research." The final level of arrangement, of documents within filing units, is usually practiced only in connection with the flattening of folded records and in connection with microfilming.⁵³

This is the current concept of arrangement as developed by the National Archives to meet the particular requirements of the archives of the National Government. The term "arrangement" dates back to the original Public Archives Commission, but the concept today is sufficiently flexible to be applied to the archives of any records creator, public or private. This concept is taught in academic courses in the administration of modern archives and in the summer institutes inaugurated by Ernst Posner as a cooperative venture of the National Archives, The American University, the Library of Congress, and the Maryland Hall of Records. These institutes, whose previous directors have included Dr. Posner and Dr. Schellenberg and whose guest lecturers include Dr. Holmes and other National Archives staff members who helped to develop this concept, have been attended by practicing archivists in every field of archival activity and by manuscript curators and librarians. The institutes, the publications of the National Archives, and the quarterly journal of the Society of American Archivists, the *American Archivist*, represent the most recent and by far the most successful method of achieving the degree and kind of uniformity in archival policy and practice that is appropriate to a country with no centrally directed and controlled archival system.⁵⁴

The future of archival "classification" in the United States? In

⁵³ *Ibid.*, p. 35-37. See also *Staff Information Paper* no. 18, p. 12-14; and Schellenberg, "Archival Principles of Arrangement," p. 19-23.

⁵⁴ The most authoritative and convenient source for the current practices of archival agencies at the State level is *American State Archives*, by Ernst Posner (Chicago, 1964). For the influence of the concept of arrangement on the handling of private papers, see Katherine E. Brand, "Developments in the Handling of Recent Manuscripts in the Library of Congress," in *American Archivist*, 16:99-104 (Apr. 1953); the same author's "The Place of the Register in the Manuscript Division of the Library of Congress," *ibid.*, 18:59-68 (Jan. 1955); Dorothy V. Martin, "Use of Cataloging Techniques in Work With Records and Manuscripts," *ibid.*, 18:317-336 (Oct. 1955); Richard C. Berner, "The Arrangement and Description of Manuscripts," *ibid.*, 23:395-406 (Oct. 1960); and the same author's "Archivists, Librarians, and the National Union Catalog of Manuscript Collections," *ibid.*, 27:401-409 (Oct. 1964). See also Nathan Reingold, "Subject Analysis and Description of Manuscript Collections," in *Isis*, 53:106-112 (Mar. 1962).

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launching its program of arrangement and description the National Archives indicated that its "preliminary" inventories of record groups would eventually be replaced by "final" inventories that would include "the assignment of simple symbols" to record series.⁵⁵ No such final inventories have yet been prepared, but it is not unlikely that when this stage of the program is reached the debate over classification will again be revived. Perhaps at that time another report will complete this account of how U.S. record conditions have necessitated modifications in archival policies and practices within the broad framework of the principles that are basic to our common profession.

AN EXPLANATION

Although this report incorporates observations and study of current archival practices throughout the United States, it is based upon the conviction that it is of less value to know how many depositories practice each type of classification or arrangement, and where they are located, than to understand the reasons for the still existing diversity and the nature of the efforts made to develop a practical degree of uniformity. Only in terms of this background and of the basic considerations indicated at the beginning of this report would any survey of current practices be intelligible. And in the final analysis it is not this diversity but the increasing influence of the concept of arrangement throughout the United States that is of true significance. It is within this concept that the "modern methods of arrangement of archives in the United States" are to be found.

In the light of his own experience, Dr. Schellenberg once wrote that "an American archivist going abroad is well advised to proceed cautiously and humbly; for American ways of doing things are not necessarily better than those of other countries; they are merely different."⁵⁶

⁵⁵ NA, *Annual Report*, 1941, p. 66.

⁵⁶ T. R. Schellenberg, "Applying American Archival Experience Abroad," in *American Archivist*, 19: 33 (Jan. 1956).

Could or Should?

No historian could commit a single word to paper without the assistance of archivists to guide him through the manuscripts committed to their care.

—BENJAMIN WOODS LABAREE, *The Boston Tea Party*, p. vii (New York, 1964).

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ARCHIVAL FINDING AIDS

by Etienne Taillemite

One of the basic tasks of the archivist is without doubt the preparation of finding aids which are suitable for making the archives in his custody easily accessible for all kinds of searchers who may want to use them ¹. Without lists, and particularly published lists, even properly arranged archives will remain little known or even unknown, and will therefore have little value. We should not hide our light under a bushel. There are however different forms of finding aids, some more detailed than others ; and the first point to settle is the kind of finding aid which is most suitable for the record group or class under consideration. Several criteria affect the choice : the quantity of documents, the historical interest which they contain, the precise nature of the documents, whether they are a real archival series (that is to say, homogeneous papers produced by the activities of an agency or institution, as for example the *Intendance* of Canada) or, on the other hand, a collection of items of various origins gathered together arbitrarily or by chance.

The quantity of items to be described will affect considerably the archivist's choice, as he obviously cannot undertake to treat a small series with a few items (boxes, volumes or bundles) in the same way as an enormous mass of thousands of items.

There is no need to stress that historical interest will of course be a determining factor, but the age of the documents is not the only point which must be considered. We should not forget that there is only slight interest in some very old documents, while contemporary files may prove to have great fascination.

The exact nature of the documents to be processed must be considered very carefully. An organically constituted series of documents which is wholly in proper order and which originated

¹ The problem of preparing finding aids has been very well dealt with by M. Marcel Boudot, Inspector-General of the Archives of France, in chapter V of the *Manuel d'archivistique*, published in 1970 by the Association of French Archivists (pp.243-293). The text which we have written at the request of Gilles Héon does not attempt in any way to compete with this very thorough study. It is written from a practical point of view, and merely tries to help the archivist in this difficult task.

entirely in the same organisation does not require the same kind of list as a collection of documents of different origins and therefore of a heterogeneous nature.

Let us now examine the different kinds of finding aids from which we can make a choice. Proceeding from the general to the particular, and from the least detailed to the most exhaustive, there is the guide to sources or to research subjects, the class list, the descriptive list, the summary inventory and, finally, the calendar.

I. GUIDES

There are several different forms of guides. They can relate to a geographical area or region as, for example the *Guide to the Sources for the History of Africa South of the Sahara* which was published in 1972 under the auspices of the International Council on Archives, or the *Guide des sources de l'histoire du Canada français*, which is being prepared jointly by Canadian and French archivists.

On the other hand there is the kind of guide which will assist the reader interested in a particular subject ; for example, the *Guide des sources de l'histoire littéraire aux Archives nationales* published in 1961 by Mme Danielle Gallet.

A guide to the whole contents of an archives repository can also be considered. Several finding aids of this kind have been prepared over the past few years by the directors of some of the Archives of French *départements*, in Haute-Vienne, Charente-Maritime, Loire-Atlantique, etc. Guides of this kind are now required by the Director-General of the Archives of France by a regulation dated April 1969 ; and all *départements* are gradually being provided with such a guide.

When a class, group or several related groups prove to be particularly complicated, they may justify the preparation of a special guide. This is the case with certain archive groups in the *Archives nationales* of France which over the years have suffered many and varied misfortunes, and in which it is difficult to find documents for which a search is being made. Two particularly successful examples can be given : *Fonds du Conseil d'Etat du Roi aux Archives nationales*, published in 1955, by Michel Antoine, and the *Guide des recherches dans les fonds judiciaires de l'Ancien Régime* by several authors which appeared in 1958, in which studies were made of large quantities of legal documents which have survived : the Parliament of Paris, Châtelet, Admiralty of France, etc.

As a species of finding aid the guide has of course both advantages and disadvantages. An advantage is that it can be produced quickly. The guide deals with the most basic aspects of

an archive group, and is therefore specially recommended for large groups which cannot be provided with detailed lists. Its essentially practical value is to give information which the searcher normally needs to carry out his work ; but obviously it would not give sufficient guidance for all users. The best guide will never be a substitute for even a summary inventory since, by its nature, it cannot give as much information. The guide most frequently has a very general approach ; it does not get down to an item by item description of the archive group or class, and must content itself with no more than a summary description of a large number of documents. Nevertheless it is of great value to the searcher by making it possible for him to find out if documents relating to the subject of his studies are to be found in the repository covered by the guide, and if it might therefore be worthwhile to make further search.

II. THE CLASS LIST

This is the kind of finding aid which, next to the guide, can be prepared most rapidly and simply. Like the guide it is particularly convenient for making large groups accessible for research.

The class list gives the reference to each item (register, bundle or box), a description of the contents which is as brief as possible, and the covering dates of the documents. For example :

- G⁷ 71 - Lettres adressées au Contrôleur Général
des Finances par l'Intendant d'Alençon. 1678-1684.
- C⁸ A⁸¹ - Lettres adressées au Secrétaire d'Etat de la
Marine par le Gouverneur Général et l'Intendant
de la Martinique. 1782.

When setting out to deal with a class of documents for which there is no finding aid, a start should be made with the class list. It represents the initial spadework which leads to the availability of information, at least of a general kind, about the contents of the documents, the dates, and possibly any gaps in the archive group.

The limitations of this kind of finding aid are obvious. They give only the most general description of the documents ; and while this may suffice for classes which are large, sparse in historical data, and made up of documents of the same kind (as for example in the case of most modern archives), it is unsatisfactory for archives earlier in date and rich in quality, for which it is most important to give more detailed descriptions.

III. THE DESCRIPTIVE LIST AND THE SUMMARY INVENTORY ¹

The fact that the class list gave such little information led French archivists in the early years of the twentieth century to devise another form of list which has enjoyed considerable success : it is known as the descriptive list. Its greater flexibility made it possible to adapt the descriptions to the historical importance of the documents, and to give fuller details of those documents which seem to merit it, or which contain features which are noteworthy, or which vary a great deal when considered in their context in the whole class. It will be particularly valuable for the searcher if it also has a well-constructed index of names, places and subjects which is built up as the list is being made. As an example we can mention the *Répertoire du fonds du Conseil Souverain d'Alsace*, in the *Archives départementales* of Haut-Rhin, published in 1963, by Mlle Lucie Roux.

This kind of finding aid seems most suitable for modern and contemporary records, as it makes it possible to deal with a class file by file and not paper by paper. It has also been used in France for notarial archives with a view to highlighting those items which are the most significant and rich in historical value ; and it has been used also for court records, for the same reasons. The model for this kind of finding aid is without doubt the descriptive list of Series U of the Marne Archives (Judicial matters) published in 1966, by M. René Gandilhon ².

We should not however conceal the fact that such a list has the disadvantage that to some extent it has a subjective bias. Selection is always an arbitrary action, although the archivist will always try hard not to prefer documents in which he is per-

¹ The term 'summary inventory' has now fallen into disuse, and now 'descriptive list' is preferred. However, the two terms are not exactly the same. The summary inventory had the great disadvantage that it described only a selection of the documents. Those considered to be the most interesting were described, sometimes in great detail, according to purely subjective criteria ; and there was no mention of others. The descriptive list on the other hand is more comprehensive in its coverage, and can only be applied to a class made up of files and not of separate items. Thus, for example, it seems impossible to make a descriptive list of a class made up of administrative correspondence, while it is possible in a class of legal records where the documents are arranged in files.

² A thorough study of this kind of list, with examples, will be found in the article by E. Houriez : *Un nouveau type d'instrument de recherche : le répertoire numérique détaillé*, in *Gazette des Archives*, no.64, 1st quarter, 1969, pp.9-16. See also the article by R. Gandilhou : *Les inventaires sommaires des Archives départementales de France*, in *Archivarische Zeitschrift*, 1955.

sonally interested or those which relate to research being undertaken at the time of making the list.

This is exactly why we have come to abandon the summary inventory, which describes only some of the documents - a method which had been adopted in the middle of the nineteenth century and which remained in use until 1909. This system which, as its name implies, involves describing in detail documents chosen to be the most interesting, is risky to use as it often leads the searcher into error and makes him believe that a document which is not described in the inventory does not exist. This is particularly the case with the inventory in eight volumes of sub-series B¹, B² and B³ in the Marine archive group in the Archives nationales; owing to its selective nature, this inventory does not do justice to the great wealth in these classes of documents, and must therefore be used only with caution.

In spite of the disadvantages of this kind of finding aid, it can still be used for those large groups which, owing to their small historical interest, do not seem to justify the preparation of a calendar.

IV. THE CALENDAR

Unlike the finding aids already discussed, the calendar is as exhaustive as possible and contains a full description of every document. The amount of detail given for each entry will vary with its historical importance. This is of course the ideal finding aid for the searcher, as it provides him with the equivalent of a photograph of the whole class and tells him exactly what he will find there.

It is obvious that the greatest disadvantage of a calendar of this kind is that it takes a long time to complete, since its compiler has to read and describe every single document. It is therefore only justified for classes of documents with a great density of historical material, or for some miscellaneous classes made up of documents of varying kinds which, since there is no common subject, require a full description of each item.

To have the greatest value, finding aids of any type should have an introduction and indexes.

The introduction should be composed in a wholly practical way, and should contain all the information likely to help the searcher in his work: the history of the group or class, explaining as far as possible any changes it has undergone, any gaps, the nature and organisation of the body producing the records, the method of arrangement, etc. There should be no fear of giving too much

detail ; and the author should always try hard to put himself in the place of the novice coming to the Archives for the first time feeling rather confused.

The introduction can be usefully improved by giving information about sources in other Archives, libraries and even private collections which complement the archives which are described in the list, and also by a bibliography of the main works relevant to the listed documents. This will prevent searchers from embarking on studies in fields already covered.

Indexes are also essential to all good finding aids. Nothing is less manageable than a list or calendar without an index, particularly if it covers several volumes.

Indexes should be fully comprehensive and include all names of persons and places, and possibly of ships. Members of the same family and others with the same name should as far as possible be clearly distinguished ; and when persons have some official position, this should be indicated. For officers, for example, the last rank achieved should be given. Names of places should be identified as precisely as possible ; it would be advantageous to group them together by regions ¹. For ships, an attempt should be made to distinguish between naval vessels and merchant ships.

The indexing of subjects is difficult, as the index will refer only to subjects chosen as the most interesting ; and here a classified table of subjects which have been indexed will be very useful ².

Official policy in France is to prepare a single index of persons, places and subjects, distinguished by different type-faces : names of persons in small capital letters, names of places in italics, subjects in roman type. The index must be as clear as possible. When a fourth category has to be provided, for example for names of ships, a different method can be used, with two separate indexes : one containing persons and places and the other with subjects and ships. That is the method we have adopted for the index to the eight volume inventory to classes B¹, B² and B³ of the Navy archives which was published in 1969.

The question of indexes prompts us to mention a special kind of calendar which a few years ago was the subject of experiment in some Departments, and which is at present being used for certain

¹ On this subject, see E. Houriez : *Les tableaux méthodiques des noms géographiques dans les instruments de recherche*, in *Gazette des Archives*, no.65, 1969, p.97.

² See F.J. Himly : *Les tableaux méthodiques de mots-matières en tête des index alphabétiques*, in *Archivum*, XIV, 1964, pp.140-142, and *Manuel d'archivistique*, p.288.

classes of archives in the *Archives nationales*. This uses the method of presenting the whole calendar in the form of an index, the descriptions of the documents which are usually quite brief being put under names of persons and not arranged in the order in which the documents are contained in each item. An excellent example of this method is found in the *Manuel d'archivistique*, p.286, in the form of an inventory of the letters patent of Duke Henry II of Lorraine.

Three similar experiments are being made in the section of the *Archives nationales* which is responsible for pre-Revolutionary archives. They are concerned with the chancery of King Charles V, with civil decrees of the Parliament of Paris in the 15th century, and with correspondence from Governors-General and *Intendants* of St. Domingo in the 17th and 18th centuries. Instead of describing every item systematically according to the traditional method, the archivist puts on index cards all the names of persons and places and the main subject words.

The result is obviously very different from the traditional calendar, and a very large number of index cards is rapidly built up. For example, by this method the first two registers of correspondence for St. Domingo have produced more than 3,000 cards. As the whole class contains about 180 items, it is possible to imagine the vast amount of documentation which will be produced.

This method has the advantage of giving a much more comprehensive coverage than the conventional calendar in which the names of all persons and places do not necessarily appear ; but on the other hand it is not much quicker to produce than the normal calendar, and may even take somewhat longer. For this reason it can only be used for classes of older archives which are very valuable and rich in historical material and which would justify a full calendar. It is not necessary to give such full treatment to classes of modern records, which can be described by files and not by individual papers, and which need reference only to the more significant names.

This is a rapid summary of the characteristics of the different finding aids used by the French Archives. We do not presume to suggest that they should necessarily serve as models. Archives administration covers techniques which require a great deal of flexibility and change to meet the many situations which arise ; and we can recall what Napoleon said of war : 'the whole art of war is simply to wage it'. It is, however, without question that the experience gained by French archivists over a century and the many experiments they have made and continue to make can provide a basis for consideration and perhaps the means of avoiding waste of time and money by using methods which have proved unsatisfactory both to those who have made finding aids of different kinds and to those who have used them.

ACCESS AND REFERENCE SERVICE

**CONFÉRENCE INTERNATIONALE DE LA TABLE RONDE DES ARCHIVES
INTERNATIONAL CONFERENCE OF THE ROUND TABLE ON ARCHIVES**

20ème C I T R A . - O S L O 3 - 7 SEPT. 1981
20th

I N F O R M A T I O N A N D O R I E N T A T I O N

O F T H E U S E R

P R E L I M I N A R Y R E P O R T

compiled on the basis of questionnaire
replies received by

Eckhart G. Franz
Hessian State Archives Darmstadt
CITRA Secretary

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INTRODUCTORY REMARKS

From the very foundation of the International Council on Archives in 1948 one of its statutory objectives has always been

to facilitate the more frequent use of archives repositories and the effective and impartial study of archival documents they contain by making their contents more widely known and by encouraging greater ease of access to archive repositories,

to quote article 2 (e) of the present ICA Constitution. The fifth place in the sequence of *general objectives* certainly does not indicate an order of priorities. Liberalisation of access was the primary concern of the Extraordinary International Congress in Washington 1966, which in its recommendations was reaffirmed by the subsequent Congress of Madrid in 1968. One aspect of the *Archival Revolution of our Time*, proclaimed by the 9th International Congress of 1976, was *The Revolution of Access and Use*.

The term *revolutionary* is certainly not too strong to designate the changes which have affected the use and other public services of archival establishments all over the world in the last two decades. The increase of *daily attendances by members of the public* at the London Public Record Office from 40.000 in 1963 to 98.315 or 393 per day in 1980 is representative for a general tendency, though the absolute figures are higher than elsewhere. There are several archives with more than 100 searchers per day, quite a few with an average attendance between 40 and 60, and *growth rates* of 10-20 % per year are reported from various countries. Users at the Gabon National Archives almost doubled from 1978 to 1980 (308/547), and the Bahamas Record Office marks an increase from 196 to 755 in 4 years. There is a similar increase in the amount of written enquiries, from about 6000 in 1968 to 21.433 in 1980 at the P.R.O., from 189 to 290 in the last 4 years at the Belgian State Archives of Namur.

The discussion on liberalisation of access so far has largely concentrated on the legal and procedural aspects. But the Success of ICA's recommendations for the 30 years' rule, the removal of statutory impediments is perhaps not even the most important factor in explaining *the expanding archival clientele in the post-world-war II period*, which Ivan Borsa reported on at the 1976 Congress. Expansion of the archival network, augmentation of archival holdings, new types of archives, more and better finding aids, new fields of scientific interest, an increased consciousness of archival research possibilities in the administration, in the academic world and in the general public, shortened work hours, which leave more free time, and last not least an almost surprising revival of historic interest have worked together to fill the archival search-rooms and to multiply the number of written enquiries.

To meet this increased demand, which they have at least partly initiated by their own publicity efforts, the archives in most cases have no chance to obtain a proportional augmentation in their personnel and material resources. With the difficult financial situation in many countries quite a few administrations, on the contrary, have to put up with cuts in their personnel and budget, this to an extent, that in some repositories reductions in opening hours and services offered have been inevitable. It is partly this problem, the necessity to cope with growing user demands on the basis of unchanged or even diminishing personnel capacities in the archives, which has prompted new efforts to facilitate archival research by a more effective information and orientation of the user.

A. GENERAL INFORMATION

1. International, national and regional directories

A very first information on the existence of archival services is offered by their inclusion in general directories of research institutions like the *World of Learning* and similar publications on the national level like the *Informator nauki polskiej* (Directory of Scientific Poland), named by the Polish Archives, or the French 2 volume-publication *600 unités de documentation, intéressant les sciences sociales et humaines* of 1971. In their double function as parts of the administrative set-up archives repositories will also be listed in the periodical directories of governmental services of the almanack type. Archives should of course insist to be listed in all publications of this sort down to the regional and local level, even though the information offered is normally limited to formal data (title of the institution, address, telephone number, head of the agency). Thanks to their regular re-editing (in many cases annual or bi-annual) informations in these directories tend to be more up to date than those in the more specific archives directories, which have a longer or even irregular periodicity.

Though some data may have changed since the January 1975 deadline, ICA's *International Directory of Archives*, bibliographically *Archivum* vol. XXII/XXIII of 1972/73, is still the most important source of basic information for more than 2.500 archival institutions in 132 countries. With its bibliographical references and notes on the most important holdings it proves in many cases more pertinent than the respective national directories. The only deficiency seems to be the rather limited availability. An effective distribution of about 1200 copies is certainly not enough to reach all potential users in archives, libraries, documentation centers, government departments and research institutions all over the world. This is unfortunately true for a lot of useful publications of ICA, UNESCO and other international organisations.

The existing national guides or directories of archives differ very widely as to the extent of information they provide. Some of them will be limited to state or public archives, but the general tendency seems to be to cover all archival institutions, whether public or non-public, including manuscript departments in libraries or university institutes and documentation centers with archival collections. The arrangement may be by types of archives (state archives, municipal archives, business archives, church archives, family archives, archives of political parties etc.) or purely topographic (by geographic/administrative units or alphabetical order). The periodic directory *Records Repositories in Great Britain*

gives a short general introduction, followed by the formal data (title, address, telephone number, head of the agency, opening hours, abbreviated indication of technical equipment and published guides). The other extreme would be the 2 volume *Minerva* handbook on archives in German-speaking Central Europe of 1974, a directory which on 1418 dictionary type pages covers more than 8000 archival institutions with fairly detailed informations on the history, the present organisation and functions and the archival holdings; a directory of this type, distributed by a private publishing firm at a rather high price, is certainly beyond the means of the private researcher, a reference work für archives, libraries and research institutions, which can afford to buy it.

Aiming for something like an intermediate solution, the volume of a national directory will, of course, depend on the size of the country and the number of archival institutions to be covered. A sensible format, devoting between 1/2 page and 5 pages to every institution according to the importance of its holdings, will produce handy books for countries like Finland, Switzerland (periodical directory for archives, libraries and documentation centres), or Yugoslavia, while running up to sizable volumes in the Soviet Union (*Gosudarstvennye arkhivy SSSR. Kratii spravochnik*, 1956, 507 pp.) and the United States (*Directory of Archives and Manuscript Repositories in the US*, 1978, 905 pp.). Since, particularly in the larger states, a relatively high proportion of users will be interested in the archival facilities for a particular region or even locality, there seems to be a more recent tendency to supplement the national reference tools by directories on the regional or even local level. Examples to be cited would be such directories for the German city-states of Hamburg and West-Berlin (*Verzeichnis Hamburger Archive*, 1978, 48 pp.; *Berliner Archive*, 2nd ed. 1980, 80 pp., covering 64 institutions) or the 1979 International Archives Week publication on *Alberta's Archives in Canada* (44 pp.).

As in the case of Alberta, the celebration of the International Archives Week has prompted quite a number of illustrated pamphlets, which combine some general information on archives and archival functions with a directory of archives in the respective state or region: *Archives in India* (38 pp.), the Swiss booklet with the provocative title *Archive: Luxus oder Notwendigkeit* (Archives: Luxury or Necessity, 36 pp.), *Staatsarchive der DDR* (State Archives in the GDR, 36 pp.) or a regional equivalent for the Western German State Archives of the Land North-Rhine-Westphalia

A remarkable endeavour along the same lines is the Italian series of *Itinerari archivisti Italiani*, a series of 20 booklets of this type for the Central State Archives in Rome and the 18 regions of Italy plus an introductory information on the whole of the Italian State Archives Administration. A Belgian booklet of 1980 (published in French and Flemish) presents the central and provincial state archives on only 16 pages.

From the language point of view the efforts of some archives administrations to provide archival guides, directories or prospectus-type information to foreign users in others than the national languages deserve particular attention. Rumania has published an introductory pamphlet in French *Les Archives de l'Etat de Roumanie* as early as 1969. An English Guide to the *Public Archives in Finland* (50 pp.) has come out last year. Part of their governments' cultural information abroad are *Archives in Yugoslavia*, a 16 page-offprint from the English *Yugoslav Survey* 1976, and the *Archives Fact Sheet on the Netherlands*, which is available in English, French, German and Spanish. In the *English Guide to the Archives of Hungary* (1976, 228 pp.) the history and holdings of about 70 archival institutions in Hungary are described on 1 to 15 pages each. At this point mention should be made of a series of *English Language Guides to .. Libraries in Archives* in various European countries (France 1973, Germany and Poland 1975, Italy 1979), which have been published by the *American Council for European Studies*, publications, which in spite of some shortcomings may be useful to anglo-american students. The quality of a German guide to Paris archives, libraries and documentation centers for 19th and 20th century history (ed. P. Hartmann, Munich 1976) has been proved by its subsequent translation into French. Even more thorough are the volumes of Patricia Grimsted on *Archives and Manuscript Repositories in the USSR* (vols. 1-2, 1972-1980), which - like the Paris volume

and a parallel guide to the Paris National Archives holdings before 1800 (by W. Paravicini, 1980) - were prepared with the support of the national archives administration concerned.

2. Pamphlets and brochures on individual archival agencies

While practically all kinds of directories address themselves to the potential user, this is not equally true for the wide variety of pamphlets, brochures and leaflets on individual archival agencies. In some cases the purpose is quite evident. *Sadan er Rigsarkivet*, an attractive and instructive 14 page-booklet of 1974, is meant to introduce new staff-members to the history, the organisation and the working conditions of the Danish National Archives, though it will certainly interest the colleagues in other archives as well. A 1980 picture-pamphlet *The National Archives and your Records* is distributed to advertise the well developed records storage services of the Zimbabwe archives, with only marginal reference to other functions of the National Archives. To solicit donations, both financial and archival, is at least one purpose of some of the prospectus, produced by privately supported institutes like the Westphalian Economic Archives at Dortmund or the German Literature Archives at Marbach.

The majority of the more recent brochures and pamphlets - here again quite a few products of International Archives Week like the Singapore *Introduction to the National Archives and Records Centre* or Luxemburg's *Quand les Archives racontent l'histoire...* tend to envisage a variety of addressees: the personnel of records producing agencies and institutions, which by an attractive presentation of archival functions may be induced to give better cooperation; the budget-voting member of the state, regional or local parliament; the private owner of archives and manuscripts; the general tax-paying public, which wants to know what archives are all about, and within it, of course, the future visitor of archival exhibitions and the potential user. That the user is not the primary concern, becomes very evident when some of these brochures do not even indicate the opening hours of the search rooms.

Most of the archival institutions, which replied to the questionnaire, seem to dispose of some kind of printed or mimeographed information. There are printed or offset pamphlets between 12 and 60 pages, occasionally off-prints form articles in out-side periodicals. Quite a few of them are well illustrated with black-and-white or even colour pictures, which show the archives building, the various archival functions, different types of archival records and documents of particular interest. A good example is the recent 12 page pamphlet *Services and Facilities of National Archives of Nigeria*. In some cases the illustrations tend to be more important than the text, while other pamphlets carry quite a bit of textual information, sometimes coming close to a summary guide of the holdings. The variety in style is even more marked in the numerous leaflets, which follow the model of commercial and touristic brochures. In some of them the rather conventional text seems to disagree with the glossy make-up, while in other cases the advertising style is carried over to the text as well. The leaflet of the French departmental Archives at Lons-le-Saulnier/Jura (on the cover: *a public service, free of charge, open to everybody*) manages to create this impression, even though it includes a two page list of principal record groups. The instructive brochure of the Zurich State Archives in Switzerland tries to provoke by its title: *Unser Staatsarchiv: Schatzhaus oder Rumpelkammer* (treasure-chest or dust-bin). Cartoons are used in the prospectus of the Stockholm City Archives, and the leaflet of the Dutch State Archives Administration may be unfolded into a veritable poster, offering *vrije toegang* to the public archives where centuries lie in bundles.

Besides the publicity, which (among other things) tries to attract and direct the potential user, there are other texts to instruct the newly-arrived visitor in the archival search-rooms. Whether these are simple leaflets in typewriter-offset, folded brochures like the new P.R.O. *Instructions for Readers* or more detailed pamphlets like the 1980 re-edition of the Paris National Archives *Guide du Lecteur* will certainly depend on the number of users received. While the Paris Guide (56 printed pages) tries to give a rather thorough de-

scription of working conditions and research facilities in the National Archives, including the various types of finding-aids and a detailed survey of existing record groups, other texts are limited to the procedure of ordering records, the reprographic services available etc. At the Washington National Archives the 16 page *Researcher's Guide to the National Archives* is only one of a whole series of *General Information Leaflets* on various aspects of archival work, including guidelines for specific fields of research like genealogical, military and cartographic records. A similar practice is used in the Public Archives of Canada and at the Scottish Record Office in Edinburgh.

Here again a special tribute should be paid to some archives, who offer information pamphlets and brochures in foreign languages. There are English versions of the general information brochures for the National Archives of Japan in Tokyo (1972) and for the Indonesian National Archives in Djakarta, but also for the City Archives in Belgrade and Budapest. The brochure of the Stockholm City Archives contains an English summary, while the Riksarkivet's 1980 pamphlet on *Research in the Swedish National Archives* (14 pp. offset in hard cover) is available in English, French and German. For genealogical searchers from abroad there are also English language pamphlets on *How to trace your ancestors in Norway* and in *Sweden* which are distributed by the Ministries of Foreign Affairs.

3. Periodical publications and public media as instruments of archival information

There are various types of periodicals, which are published by archives administrations or individual archives agencies. Many archives administrations are responsible for the editing and publishing of national or regional archives journals, academic periodicals, which carry articles on problems of archivology, archival history and archival research. As an instrument of archival information policy journals of the bulletin type, which come out three or four times a year, will be more important than the more scholarly yearbooks, though they too may be used to publish annual reports (sometimes in an abridged version), lists of new accessions or notes on acquisitions of particular significance, news on published finding aids or surveys on research in progress. Similar items may appear in the journals on regional or local history, which are attached to quite a few regional and municipal archives agencies.

To evaluate their usefulness as a tool of archival publicity it would be necessary to know how many copies are being published and whether, though private searchers will have to pay a subscription fee, copies are provided free of charge to government agencies and research institutes in the country, which is certainly true for the bulletins of the State Archives Administration of the USSR, Poland and Bulgaria, for the new *Bilten Arhiv Jugoslavije*, for the well edited Mexican *Boletín del Archivo General de la Nación*, the Indonesian *Berita*, the richly illustrated *Archives* of the Public Archives of Canada (6 issues per year, English/French), or for the *Memário do Arquivo Nacional* in Rio de Janeiro. The latter publication, *MAN*, which is published in typewriter offset, comes close to the even less formal type of news-letters, which are published by some archives and archives administrations as a free information service to the administrative agencies they serve, to research institutions, historical associations and interested private searchers. Bulletins of this kind are distributed twice a year by some of the Western German archives administrations, the Bavarian, the Hessian and the Rhineland-Palatinate State Archives; other regional examples mentioned are the *Archive News* of the Suffolk Record office in Britain or the *Feuille semestrielle d'information* of the French Departmental Archives at Strasbourg. A bulletin of the National Archives of Nigeria is due to start in 1981. The target groups of these news-letter/bulletins are clearly defined in the three alternating series of the Swedish National Archives' *RA-Nytt: Myndighetservice* (service to the administration), *Forakarservice* (service to the searcher) and *De enskilda arkiven* (private archives). For completeness' sake, mention should be made of another type of news-letter, so-called *house-journals* like the Norwegian *Arkivposten*, the P.R.O.'s *Petty Bag*, *S.R.O. Notes* in Edinburgh, the Paris National Archives' semi-annual *Note d'information* or *Krigsarkivets interna meddelanden* in Stockholm,

which are meant for internal staff-distribution only, though quite a bit of the information would be interesting to out-side readers too.

The realization, that periodic re-iteration of well-presented informations on the work of the archives will be more effective than a singular pamphlet or prospectus campaign, has induced quite a number of archives administrations to use their annual reports as a tool of archival publicity. Even rather formal and factual reports like the statutory *Report of the Keeper of Public Records* for the British Parliament with its heavy apparatus of statistics and annexes will provide a lot of important information to interested searchers and research institutions. Some archives publish reports in their journals or bulletins, like the U.S. National Archives and Records Service, where the Annual Report is a regular annex to the spring edition of *Prologue*. In other cases archival reports are included in the general report of the responsible government department or (in the case of some local archives) the city or county government. But more than one third of the archives, which have answered the questionnaire, publish their report separately in one form or the other, distributing it far beyond existing statutory obligations, on a regional, national or even international scale. With little effort, the addition of a well designed cover and the insertion of some illustrations a rather business-like report may be transformed into an attractive pamphlet. Examples from various parts of the world are the reports of the National Archives of Japan, Singapore and Zimbabwe, of the N.S.W. Archives Authority Sidney, but also of some of the British county archives. The richly illustrated reports for the Public Archives of Canada or the State Archives of the Netherlands run up to book-size; the volume of the Canadian report as that of the Belgian state archives administration is partly true to its bilingualism, while the Sri Lanka National Archives report is even trilingual. Sri Lanka is only one of quite a number of states, where the annual report provides the only up-to-date information on the archives, which is available outside and sometimes even inside the country.

Information about the archives in the press and on radio-television in most countries seems to be limited to special occasions, the opening of exhibitions or new buildings, historical anniversaries or spectacular acquisitions like the Bonaparte archives in Paris. *Occasional, irregular, sporadic* are the most frequent replies. A specific type of user-oriented information are the rather sensational reports of the London press in early January, when a new year of contemporary history is opened under the 30 years' rule, which is more strictly applied in Britain than in some other countries. Regular news releases are reported from the Ottawa Public Archives. Continuous press coverage is insured by the monthly subject-oriented visitors' tours of the Zurich State Archives, with a printed programme announcing dates and subjects at the beginning of the year, an effort, which combines publicity in the best sense with some basic user education.

B. PREPARATION OF ARCHIVAL RESEARCH

1. Guides and general inventories

Archival directories, pamphlets and information brochures may provide a first idea about the distribution of archival holdings or about the general scope of the holdings in a particular repository. The most important instruments of information to the searcher, for the rational planning of a research visit, for the decision where to direct his efforts and whether a personal visit will be worth while, or even for the formulation of a pertinent enquiry are certainly the descriptive guides and general inventories of archival holdings. Finding aids of this kind belong to the earliest archival publications. Impressive examples date way back into the 19th century, and some of the very thorough inventories for the Austrian State Archives in Vienna, which were done in the 1930es, are still valid to-day. Others, of course, stay in use though they are obsolete, because the necessary re-make is still pending.

A new effort for the elaboration of repository guides or inventories started in the 1950es, in many cases as a kind of stock-taking after the destructions and dislocations of the war and after-war-years. Good examples were followed, and quite a few archivists realised, that the lack of finding aids for some parts of their records is no pretext for not having a general guide, that the existence of perfect lists and indexes for all and every record, a state which is almost impossible to reach with the steady growth of archival holdings, is no prerequisite for the drafting of a useful guide. The Coblenz Federal Archives, which did not become operational before 1952, published a first version of their guide as early as 1961, an enlarged 2nd edition in 1968 and a third one at the occasion of the 25th anniversary in 1977, with the number of pages increasing from 211 in the first to 970 in the third edition.

The intensity of the information given in the various guides and inventories is certainly quite different. It will reach from mere lists of record group titles, which are of rather limited use to the searcher, to a very detailed, repertory-like description down to the sub-series- or even file-level, a procedure, which may be feasible for repositories with rather limited holdings, but will result in never-ending multi-volume inventories for larger institutions. Surprisingly enough, since there was no attempt towards international standardization (which might have been useful), we are to-day in a position to define something like a "normal" guide, which will average 1 or 2 pages for every record group or fonds, some more for very important groups and less for minor ones, with the records of parallel agencies sometimes being contracted into one single description. Descriptive elements will be the institutional and archival history of the record group, its internal classification and principal subject contents, the period covered, the volume (number of items or running meters), existing finding aids and additional literature, possibly the indication of losses and complimentary records in other groups or repositories.

While this type of description will produce rather handy, one-volume guides for a large number of medium-size repositories, it may come up to several sizeable volumes for the bigger institutions, publications which become too big and too costly for the average searcher to buy. One way out is the splitting-up of the general guide into a series of parallel sectoral guides which are sold separately, a solution, which is being practised for the Stuttgart General Archives of Baden-Wuerttemberg. In other cases the voluminous "big" guide will be supplemented by an abridged version, a short or summary guide for wider distribution. This abbreviated version may precede the more extensive inventory as a sort of preliminary guide. Still other archives will confine themselves to a summary guide, with the complete inventory being restricted to search-room use, perhaps with a limited number of copies in major libraries and research institutions.

The first attempts to systematize the production of guides or general inventories for all public archives repositories in certain countries go back to the first wave of guides in the mid-fifties. The guides for the 6 archives repositories in Thuringia, which followed the same, rather well conceived pattern, were only part of a larger campaign for the whole of the G.D.R. state archives, which produced about 15 volumes in little more than a decade. The increasing user demand of recent years has evidently re-vitalized the guides movement. Outstanding achievements are the comprehensive Guide to the U.S. National Archives of 1974 (884 pp.) and the monumental 4 volumes of the *Etat général des fonds* of the Paris National Archives, which came out in 1976/80. The report for the French departmental archives lists 37 guides published since 1954 and 17 more in print or ready for printing. The publication of guides for the Bulgarian state archives, which only started in the late 60es, already covers 25 of a total of 30 central and regional repositories. Further examples might be cited from the Soviet Union, Poland and Czechoslovakia, from Western Germany and Austria, from Spain and from Denmark or from the English local archives scene.

Special attention should be given to an on-going project in the Netherlands, where the 2 volume-guide *De rijksarchieven in Nederland* of 1973 (for the whole of the Dutch central and provincial state archives) is being replaced by a series of cumulative guides for the 12 Dutch provinces, which will deal

with all *openbare archiven*, including the townships and the water-cooperatives at the coast. Volumes I-VI for the provinces of Drenthe, Gelderland, Zeeland, North-Brabant, Groningen and Overijssel have been published in the last two years; volumes on North-Holland and Amsterdam with 300-400 pp. each are in print, and the remaining 4 plus a new guide for the Algemeen Rijksarchief are scheduled for 1981/83. It remains to be seen, whether the ICA study on national guides will recommend something along these lines or a shorter directory-type. The new Dutch guide series might serve as a model to coordinated efforts for ICA's regions in the Third World, where up-to-date guides so far are rather scarce. The UNESCO-supported project for a guide to archival holdings in Asia seems to point in this direction. The on-going project of a cumulative guide to the archives of international organisations should also be mentioned in this context.

2. The publication of traditional archival finding aids

There is no principal dispute on the desirability of printed guides to archival holdings, though there may be differences of opinion as to the format. For the publication of conventional archival finding aids, the inventories, catalogues, lists and indexes to individual fonds or record groups the situation seems to be far more complex. By tradition large-scale publishing of archival finding aids had been limited to a relatively small number of Western European countries. The British Public Record Office, the French and Belgian archives have started the more or less systematic publication of finding aids in the mid-nineteenth century. A superficial count of the official P.R.O. publications of calendars, catalogues and lists since 1858 comes close to a 1000 volumes plus another 200 in the offset-series of the *List and Index Society*, which started publication on a subscription basis in 1966. In Belgium the General State Archives alone since 1837 have published 136 volumes. Here too, and in France as well, traditional printing and typewriter-offset are used side by side.

In most other countries before the Second World War printing of archival inventories or repertories was limited to special cases, calendars of medieval charters or analytic inventories of very highly rated record groups. A change of policy was eased by the introduction of the cheaper offset technique. The various series of the U.S. National Archives, the *Inventories*, *Preliminary Inventories* and *Special Lists*, the latter two started in 1941/42, have come up to more than 300 volumes, if we include the inventories of seized enemy records. The Danish Riksarkivet reports 15 volumes in print and 40 in offset. The Marburg State Archives, the first to start systematic publication of finding aids in Germany, have published 110 volumes since 1957. In our questionnaire a large majority of the replies received answer the question, whether there is a *policy of publishing finding aids* in the affirmative, though in some cases actual publication has only started a few years ago. The Dutch provincial archives, which run their new offset series since 1975, have published at a rather impressive rate (30 volumes for the Central Archives, 25-30 for each of the provincial repositories). Equally impressive is the record of the Mexican National Archives with 70 volumes in less than 10 years. In other archives there will be 3, 5 or 7 volumes, which cover only a minimal part of the holdings. Still others regret, that the policy remains to be implemented or has not gone off the ground yet.

It is certainly justified to ask, whether really every list or inventory in every archives repository around the world deserves to be published in editions, which normally vary between 200 and 500 copies. For quite a few archives with a primarily regional or local interest it may be sufficient to limit publication to a comprehensive guide and to finding aids for a selection of records group with supra-regional interest, foreign relations of course, but also business archives and private papers, the map and the photo collection. In numerous archives the first volumes to be published deal with private collections; starting point for the Singapore National Archives series were the photographs and the very considerable holdings of private business records on microfilm. From this point of view publication of finding aids

will be essential to archives of literature and art or collecting points for business and technical records. There is a long series of published inventories and catalogues for the Moscow Central Archives for Literature and Art, and the Dortmund Wirtschaftsarchiv with 14 published volumes of inventories in only 10 years seems to be way ahead of some of the neighbouring state archives.

An alternative to outright publication is the provision of a limited number of carbon or photo copies. There has been a regular exchange of non-published finding aids among the three Messian state archives for more than 20 years. Some other institutions report a distribution of 5-10 copies. So far, little use seems to be made of the possibility to multiply finding-aids in micro-form, though a large number of archives will have most of their manuscript and type-written finding aids on security microfilm. With microform-readers available in most archival search rooms, lists and indexes on microfiche should be an alternative to look for, even though the projected world-wide edition through commercial publishing channels may not go of the ground yet, to quote once more the reply from the Gambia National Archives.

3. Subject-oriented information

The usefulness of subject indexes or subject-oriented finding aids to supplement the usual inventories and lists by record groups has been recognised for some time. The importance of subject oriented information grows with the increasing proportion of non-academic or at least non-historic searchers, who for their sometimes rather limited fields of interest do not want to enter the intricacies of territorial and institutional history, which underlie the structuring of archival holdings on the basis of provenance. The concentration of user interests on certain subjects or types of records, which may be difficult to tackle with the conventional inventories and lists, will certainly justify the compilation and eventual publication of specific finding aids or research instructions to comply with these interests and to facilitate the work of the archival counsellor.

Some of the most successful subject guides have certainly been those on geographic subjects. The Carnegie guides to sources on American history in European archives go back to the earlier years of this century. No special presentation is needed for the various series of the *Guide to the Sources of the History of Nations*, one of the most gratifying achievements of ICA-UNESCO cooperation. *Materials in the National Archives relating to the Russian Empire and the Soviet Union, to the Mexican States, to the Middle East, to Rumania*, are the titles of some of the U.S. National Archives Reference Information Papers. *Balkania, a Guide to the Polish Archives relative to the History of the Balkan* (1979) will be followed by similar volumes in other countries. *Archival resources ... relating to the Indian Ocean* is the title of a 1979 Reference Guide of the Australian National Archives. Guides of the same type are being published by interest on the market is Lewanski's *Eastern Europe and Russia/Soviet Union. A Handbook of West European Archival and Library Resources* (317 pp., 1980) Closely related to these geographic subjects are inventories concerning specific groups of the population, the inventorisation of sources concerning Jewish history in European archives, which is supported by archives and research institutions in Israel, or the new series of subject guides on the *American Indians, Hispanic People of the Southwest and Black History in the U.S.*, which are announced by the National Archives. *Sources for the Study of Canadian Jewry and Records relating to Indian Affairs* are recent publications of the Ottawa Public Archives. Broader in scope is the compilation of *Records of Interest to Social Scientists*, 3 volumes (so far) in the *Handbooks* series of the London P.R.O.

Interesting results are achieved in some of the guides on the history of technology and industrialization. The proportion of unexpected material may be even larger in those for the history of architecture, literature and art, which some of the special inventories and research guides of the French National Archives are concerned with. Recent guides of the Copenhagen and Luxemburg archives assemble archival sources for the development of educational facilities. Education and the Casamance region are the themes of the first two subject guides of the Senegal National Archives. There are, of course, guides for outstanding historic events, the Second World War (Australian Archives, P.R.O. London), persecution and resistance in the Nazi

period (inventory-series of the Bavarian State Archives), the Russian Revolution of 1917 and its impact on other countries (Slovak Central Archives Bratislava), the American War and *Civil War Maps* (U.S. National Archives). Maps in general, but also posters or seals are frequently registered in special guides, which go beyond the respective special collections. Quite a few subject guides will not be limited to a single archives repository anyway. This is particularly true for guides to business records and to private papers. Nation-wide inventories of private papers in archives or even archives, libraries and other research institutions have been prepared in the U.S.S.R. (3 vols., 1963-80), in the Federal Republic of Germany (2nd ed., 1980), but also in the U.S., in Switzerland and elsewhere. A *Guide des archives d'entreprises* (guide to business archives) in Belgian public archives was published in 1975, a parallel guide for the Netherlands in 1979 (2nd edition).

For all these subject-oriented finding aids there are various formats. Some of them are special inventories, which for a given subject will list not only relevant record groups or series, but individual files, documents or even entries in account books or notarial registers. Regular research guides will try to indicate the procedures to follow for the pursuit of research on a particular subject with a more summary enumeration of record groups of interest, indicating the type of information to be expected, the special finding aids, which are available, and the way to use them. Some of the special inventories will amount to a whole series of volumes, while the typical research guides are books between 50 and 150 pages, in quite a few cases even less than that. In the leaflets-series of some of the Anglo-American archives there are quite a number of subject-oriented pamphlets or brochures on subjects of particular interest, some of them condensed versions of a more extensive guide.

A particularly wide variety of research tools is available for two fields of archival research, which have been left apart so far: genealogy and local history, which, at least in Western Europe and North America will account for the highest per cent-rates of archival user statistics. The guides for genealogical research in the National Archives in Paris and Washington were among the first archival guides of this type. The Paris archives have announced a new *Guide de l'histoire des familles* and a parallel *Guide des recherches de l'histoire communale* for the current year. In the United States, in Britain and in Australia there are almost innumerable national and regional introductions to genealogical research inside and outside the archives, separate guides for almost every state, county or province. Recent archival examples are the Australian Archives *Source Material for Genealogical Research* (1977), the *Genealogist's Guide to the West Sussex Record Office* (Chichester 1979), a publication on sources for personal history in the Hanover military archives (1979) or the guides to convict, immigration and shipping records in the New South Wales Archives. An even larger number of guides and introductions to genealogical research is published by genealogical societies and specialised commercial publishers, some of them quite useful from the archival point of view, particularly, if the authors are trained archivists like D. Iredale, whose booklet *Discovering your family tree* is sold at every news-stand in London.

The situation is rather similar for the local history field. Here too, are archival guides as *Local History in West Sussex* (2nd ed. 1975), the Alberta Provincial Archives' *Writing Local History* (1980), or the Zurich State Archives' *Vom Archivaldokument zur Gemeindegeschichte* (from the archival document to a municipal history, 1979). A Bavarian manual on local history (*Bayerische Heimatkunde. Ein Wegweiser*, 1974) was sponsored by the State Archives, and F.G. Emmison's *Archives and Local History* (1st ed. 1966) grew out of British county archives experience.

4. The effects on the user

It is certainly difficult to estimate, whether the publication of various types of informative literature about archives and archival research, of guides and finding aids of all kinds, really *pays off* in terms of producing user interest, user information and research direction. When the questionnaire asked

for the proportion of users or written enquiries, which refer to a preliminary information on the archives and archival holdings, figures obtained would combine the results of successful archival advertising, new users, who are brought to the archives by something they have read or heard about them, and those, who have really prepared their visit or enquiry on the basis of published guides and inventories in some other library or archives search room.

With all due reserve, it is nevertheless interesting to state, that the archives administrations, which report more than 20 % *pre-instructed users*, are normally those with intensive publication programmes of comparatively long standing: 50 % for the Dutch State Archives Service, 40% for the U.S. National Archives and the West Sussex Record Office, 25-30 % for the Belgian, Czech and Hungarian archives, for the Public Archives of Canada, New South Wales and the Federal Archives at Coblenz, 20 % for the Dortmund Economic Archives, which started its publication series only 10 years ago. The very high rates of 60, 70 or even 90 % for the Indonesia, Bermuda and Surinam archives are of minor relevance, if we relate them to the respective user statistics (between 1 and 3 users and enquiries per day), an argument, which is less valid for the 80-90 %, which are reported for the Indian and Korean National Archives with a daily attendance of about 40.

On the other hand, there is a large number of archives with a fair amount of publicity, published guides and at least some other published finding aids, where only 3 to 10 % of users and enquiries refer to any kind of pre-information. In some cases, where the available publications are of a more recent date, it is certainly a *not yet*. But the fact, that for most of the French departmental archives with their long tradition of printed inventories and lists the rate of references to printed information stays below 10 %, is definitely not so reassuring. *The use of finding aids is superbly ignored by the great majority of users*, is the rather frustrated summary of the reporting regional director of archives in Brittany.

RESEARCH IN SOCIAL SCIENCES AND THE PROBLEM OF CONFIDENTIALITY

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For several years anxiety has been felt about the ever-increasing use of the computer in the processing of information about individuals and the consequent creation of data banks. The greatest fear is that it might become impossible to control both the accuracy of the information and the use to which it is put. The real or imagined violation of privacy which follows from the compilation and diffusion of machine-readable micro-data on individuals gives rise to both moral and legal questions. How is it in fact possible to reconcile the right to privacy, the right to freedom of information and the right to know? This question is likely for a long time to pose a considerable challenge to those responsible for data banks and to the man in the street.

There is a group of researchers who are particularly concerned with this question and who can be used as a case study: these are researchers in the social sciences. In pursuit of their research they are often faced with a dilemma: on the one hand they want access for research purposes to micro-data on individuals collected by a central statistical organisation and other ministries and government bodies; but on the other hand they are anxious to keep their own files confidential. This is the subject of a study in the 'Privacy Project' of the University of Western Ontario¹.

As a limited response to growing anxiety on this subject, the Federal Parliament in July 1977 enacted the Canadian law on the Rights of the Individual. The fourth part of this statute provides for a procedure which allows Canadians to have access to information about themselves which is held by federal ministries and agencies, and to have some control over the accuracy and use of the information².

* Jake Knoppers, an economic historian, was responsible for the SocScan programme of the Canadian Federation of Social Sciences from 1977 to 1979. He is at present an advisor on information management in the Public Archives of Canada.

¹ For a description of this project undertaken by David M. Flakerty and Ed Harris, see: 'Privacy, Confidentiality and the Use of Government Microdata for Research and Statistical Purposes', in *Social Sciences in Canada*, 6 (1978) 1:9-10.

² In accordance with part 4 of the Canadian law on the Rights of the Individual, the Federal Government has to publish an 'Index of Federal Information Data Banks' each year. This index describes data banks used by the Federal Government for administrative purposes.

In spite of growing concern and genuine disquiet on the part of those doing research in the social sciences about privacy, confidentiality and the security of computers, very little is known about their reaction as individuals when faced with a demand for information about themselves. How would they react if they were given the opportunity to say what information should remain confidential in a questionnaire aimed at obtaining information for an automated data-bank ?

Their reaction was perhaps revealed during the preparation of a list of social science specialists (SocScan) by the Canadian Federation of Social Sciences in 1976¹. The list was drawn up as a flexible and revisable means of reference for the benefit of social scientists and those who would like to profit from their work. In other words SocScan would be able to tell an enquirer the names of those who have done research or have expertise in a given field, or who have published something on a certain subject². SocScan also gave direct access to a pool of specialists and made it possible to list sources which could be used for a particular piece of research.

The collection of data was begun by sending out questionnaires to all known bodies concerned with the social sciences in the fields of education, government and private enterprise in Canada. At this stage methods for measuring the extent to which the questionnaire had reached its targets and the rate of response were not used (the updating of SocScan to be undertaken in 1979-80 will include measures for such verifications). Basically, the questionnaires resembled a *curriculum vitae* and had the following features :

1. It assured the social scientist that the information would be made available to others only in accordance with the policies established by the Social Science Federation in consultation with learned societies.
2. It allows him to restrict the availability of information in a particular field or on a particular subject.
3. His signature would be required before there can be any disclosure of complete or partial information.

For example, if a search were made for information on all those who have done research on 'federal systems of government', 'solar energy' or 'land economics', a number of files could be located by the computer and the required fields could be printed out.

¹ The Canadian Federation of Social Sciences (FCSS) is a voluntary, non-profit making organisation composed of 13 learned societies, on which universities, research centres and other bodies of the same kind are also represented.

² For further information, write to 151 Slater, suite 415, Ottawa, K1P 5H3.

If the letter 'Z' were to appear instead of the required information, it would mean that the respondent had asked that the information should not be given without his permission. The searchers could then contact the respondent directly, or through SocScan in cases where the latter has asked for his address to remain confidential.

During 1977 and at the beginning of 1978, 5212 usable files had been put into the data bank. Of these, 4264 (81.8%) were in English and 984 (18.9%) in French ¹. Among the English respondents, 1099 (25%) requested that availability of information on their subject and their studies should be restricted, while 496 (52.3%) Francophone respondents have made the same request. Altogether, 30.6% of those doing studies in social studies have taken advantage of this part of the questionnaire.

Some researchers have not answered all the questions. We cannot conclude from this, however, that failure to answer a particular question means either that it did not apply to them, or that the information was not available. It may indicate a strong wish to keep certain information confidential. It would cost more than SocScan can afford at present to make a detailed statistical analysis by computer ; and it is therefore possible to give only rudimentary statistics. Nevertheless these give a surprisingly clear picture of those replies which concern confidentiality. As we have already said, the questionnaire is in the form of a *curriculum vitae* with the following categories of information :

1. Personal details : address, age, sex, professional status ; nationality, membership of an association, etc.
2. Experience : education, knowledge of languages, areas of experience.
3. Research : title of project, description, sponsor, funding, etc.
4. Publications.

Requests for the restricted availability of personal information are summarised in the table on the following page.

¹ Since the initial distribution of the questionnaire was not made in a systematic way, it is possible that some anglophone specialists replied in French and vice versa. Account should be taken of this possibility in the following discussion.

REQUESTS FOR RESTRICTED ACCESS

SUBJECT	ANGLOPHONE Respondents	FRANCOPHONE Respondents	TOTAL
I. <u>Personal</u>			
Name	24 (63%)	14 (37%)	38
Address	16 (18%)	63 (82%)	89
Sex	43 (62%)	26 (38%)	69 *
Date of birth	455 (63%)	263 (37%)	718
Nationality	168 (92%)	14 (8%)	182
Student/non-student	26 (27%)	72 (75%)	96
Present employment	2 (---)	0 (---)	2
Membership of a profes- sional association or learned society	91 (78%)	25 (22%)	116
Other organisations or committees	95 (80%)	18 (20%)	113
II. <u>Experience</u>			
Education	58 (78%)	15 (11%)	73
Languages	56 (68%)	26 (32%)	82
Areas of experience	55 (71%)	22 (29%)	77
Specialisations	23 (62%)	14 (38%)	37
III. <u>Research</u>			
Title of project	143 (74%)	51 (26%)	194
Description of project	160 (70%)	67 (30%)	227
Relevance to public policies	50 (24%)	156 (76%)	206
Sponsor	36 (24%)	114 (76%)	150
Duration of project	38 (42%)	52 (58%)	90
Machine-readable	9 (14%)	57 (86%)	66
IV. <u>Publications</u>	36 (73%)	13 (27%)	49

1595 (30.6%) researchers asked for part of their file to be restricted ; and the five fields of information most frequently restricted are as follows :

* To these must be added 172 respondents who gave no information under this heading.

Date of birth	718 (13.8%)
Description of project for study	227*
Relevance to public policies	206*
Title of project	194*
Nationality	190*

- * Some did not reply to this question.

Thus, apart from the date of birth, most research workers in the social sciences seemed willing to allow their *curriculum vitae* to be sent to *bona fide* users under conditions laid down by the Federation and learned societies.

The above table shows clearly that there is a marked difference of attitude between anglophone and francophone respondents to the question of access to some kinds of information. This is a study in itself ; and it will be undertaken when SocScan is updated in 1978/9 ¹. It is, however, possible to make some observations. First, the five fields of information for which anglophone respondents have most frequently asked for restricted access are :

Date of birth	445
Nationality	176
Description of project	160
Title of project	143
Education	58

The fact that nationality is in second place leads us to believe that a high proportion of those doing research in the social sciences in Canada are not nationals of that country. This could also explain to some extent why 'education' appeared on the list. It is impossible to speculate why the title of the project and its description should be kept confidential. It could well be that the completed research really is confidential ; or it could equally be possible that the researcher in social sciences has a concept of the nature of his work which is too narrow, believing that importance justifies restricted access.

On the other hand, the five fields of information for which francophone researchers have most frequently asked for restricted access are :

¹ At the beginning of 1978 SocScan was moved from Ottawa to the Computer Centre for Social Sciences at the University of Western Ontario. The latter is in process of reorganising the data bank and dealing with the accumulated arrears.

Date of birth	263
Relevance to public policies	156
Sponsor	156
Status as student or non-student	69
Duration of project	72

Francophone respondents seem to be more worried about access when asked if their research was concerned with, or could influence, government policies. It is also interesting to note the number of requests for restricted access to the names of sponsors. One can only guess at the reasons for similar requests for restriction of information on 'status as student/non-student' and 'duration of project'.

Finally, in spite of the limited amount of information available, two other observations can be made :

1. Almost four times as many francophone than anglophone respondents asked that their address should not be disclosed without their permission.

2. Three times more francophone than anglophone respondents asked that it should not be disclosed that they have sets of computerised data.

Although one third of the researchers in social sciences who took part in the first phase of collecting and processing data for SocScan asked that access should not be given to certain information without their consent, a more detailed analysis reveals that it is only for one question (out of 70) that more than 10% of them have asked for such restrictions to be applied. Thus, amongst those who have been demonstrating most loudly about privacy and computerised data banks, it is the researchers in the social sciences who have shown that they can participate in a programme of this kind. The reason for this probably lies in the nature of the SocScan data bank and in the way in which it is controlled. It is in fact neither a government data bank, nor one in private or commercial hands. It is this very same group of people which manages and controls SocScan. Up to the present more than 6,000 research workers in the social sciences have taken part in the project, and it is expected that the number will reach 10,000 before 1980.

It is very possible that other associations will recognise the need for rapid and efficient access to information about themselves and their members and will similarly get their members to agree to set up data banks. It is possible to benefit from new technology while taking account of individual wishes on the question of confidentiality. The success of such data banks depends on the reliability of those who control them, and on the extent to which the manager of the data banks fully respects the access conditions laid down by the donors of information. A computerised data bank can thus be regarded as a real living archive. In order to main-

tain the integrity of the latter, the managers of data banks and their staff would be well advised to rely not so much on impersonal 'security systems' but on following the archivist in building up the confidence of donors by respecting their wishes.¹

¹ A research copy of the data base on magnetic tape for SocScan 1977/78 has been deposited in the Division for Machine-Readable Archives of the Public Archives of Canada.

Freedom of Information and Privacy: The Civil Libertarian's Dilemma

ALAN REITMAN

AS I UNDERSTAND my assignment from Edwin A. Thompson, I am to present some of the conflicts between competing constitutional rights and freedom of information and privacy, which raise ethical problems for practicing archivists who must deal with both issues. I hope my comments will create a framework for you specialists to explore further in terms of your expertise.

The emphasis on ethics, from a civil liberties perspective, must focus not only on personal judgments as to when or how access and privacy are to be protected, but also on what *rights* individuals have within our constitutional constellation. For constitutional rights are inextricably connected to ethical concerns. Rights represent, in the codified form of our laws, the dignity and worth of the individual reflected in constitutional guarantees, and rights provide standards of conduct which govern the relationship between government and the citizen.

The problems of access and privacy are not restricted to the arena of government. The same question of how to safeguard these values arises often in the relationship between private individuals and institutions, primarily the press. But, since the major difficulties arise when government and the citizen collide, our focus naturally is on the governmental sector.

In probing the civil libertarian's dilemma, one immediately recognizes that the conflict is not simply that of competing *rights* but also of competing *needs*, both for individuals and for society at large. Freedom of information, as this audience knows so well, is the essence of free and democratic government. Unless the citizenry is fully informed, the whole democratic experiment in self-government fails no matter what the social, political, or economic issue may be. Wise and effective participation in the affairs of government, through the election process and communication with legislators and the media, is weakened if the flow of information is limited or blocked. The

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diversity of thought and opinion, assured by the First Amendment, cannot spread throughout the nation if government denies access to information about government operations. Whether information is obtained by the press in furtherance of its informing function, or the private individual in pursuing a personal interest, the need for access rooted in our long-standing constitutional guarantees and historical tradition is paramount. Indeed, this need is so essential under our system of government that one should start with the assumption that access has an open door and the burden for closing that door rests on those who wish to reduce the flow of information.

The need for protection of privacy is equally compelling and finds support also in constitutional guarantees. As Attorney General Edward Levi has recently said, the First and Fourth Amendments mark off measures of confidentiality. The First Amendment's guarantee of freedom of expression shields the confidentiality of a person's thoughts and beliefs. The Fourth Amendment protects the "right of the people to be secure in their persons, homes, papers and effects against unreasonable searches and seizures" and is an ethical expression of the importance of individual privacy and a recognition that basic elements of individuality would be lost if all aspects of a person's life were exposed to public view. In the words of Attorney General Levi: "Indiscriminate exposure to the world impairs irreparably the freedom and spontaneity of human thought and behavior and places both the person and property of the individual in jeopardy."¹

The list of privacy needs—or values—can be easily expanded. Public scrutiny of private organizations, such as disclosure of membership lists, could effectively destroy an organization involved in controversial matters. What would have happened to the NAACP in the 1950s and 60s, when the civil rights movement was the target of open hostility, if the Supreme Court had not turned back the efforts of southern states to obtain the NAACP's organizational roster? Can the press perform its function if the names of confidential informants, the source of much sensitive information, were publicly disclosed? Jury deliberations, judicial conferences, aspects of law enforcement, conduct of foreign policy, even true examples of national security, all point to the fact that there is value to society in the protection of privacy.

Today's deep public concern with how the vast power of government can interfere with the lives of citizens and take away their liberty, a natural product of Watergate, has created a tendency to see the conflict of access and privacy as a fresh phenomenon, a new problem area which now demands a solution—if possible. But we make a mistake, I suggest, if in our search for solutions we train our sights simply on current abuses. The conflict is much more deep-seated. For years we have worried over questions put to citizens by the decennial census, inquiring into a person's racial or ethnic background—an obvious

¹ Attorney-General Levi, address to the Association of the Bar of the City of New York, April 28, 1975.

component of public information which conflicts with the sensitivity of minorities so accustomed to being singled out for discriminatory reference. Legislative and administrative bodies have been properly criticized for decision making in executive sessions, behind-closed-doors sessions which deny citizens a look at how *their* government operates; but absolute openness would intrude on many delicate matters requiring privacy, such as collective bargaining negotiations or private personnel problems of government employees. The list of long-existing conflicts could be enlarged; my purpose in noting these illustrations is to suggest that easy panaceas do not exist and hard thought is necessary to seek out resolutions to the conflict.

Are resolutions possible? Before tackling what appears to be an insurmountable problem of defining those situations in which one constitutional right should take precedence over another, we ought first to look at what the legislatures and the courts are saying about this seemingly unresolvable conflict.

Given the deep-seated nature of the problem, it is surprising to note that Congress was motivated to act only as relatively recently as 1966, when it adopted the Freedom of Information Act. The result of prodding by the press, a few citizens organizations like ACLU, and some congressmen, the law was written to implement the meaning of the First Amendment—that there is not only the right to *express* ideas and information but also the right to *receive* ideas and information. The law provides that records of federal government agencies shall be made available to the public and outlines the procedures by which private citizens may share these records. Time does not permit, nor does this special audience require, a categorization of the kinds of information the FOIA makes available. For the purpose of our discussion, however, it is important to list the categories exempt from the protections of the FOIA. These exemptions are the battlefield on which the struggle for access and privacy is being fought.

The FOIA exempts from public disclosure nine categories of information. These are:

1. Records "specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy" and which are "in fact properly classified pursuant to such Executive order." This refers to "classified" information—records formally and properly designated "Confidential," "Secret," or "Top Secret" under the terms and procedures of the presidential order establishing the classification system, and implementing directives.

2. Matters concerning "internal personnel rules and practices" that do not affect the public. This exemption has sometimes been construed by the courts to apply also to disclosure of internal rules and practices when disclosures would prevent the agency from efficiently carrying out its duties, such as instructions for negotiations on land acquisition or for the conduct of unannounced inspection of a regulated industry to determine compliance with federal regulations.

3. Matters exempted from disclosure by statute. Sometimes the

statute that establishes an agency will specify that certain information handled by that agency may not be disclosed.

4. Trade secrets and commercial or financial information that have been given to the agency and that are privileged or confidential. For example, sales statistics given to an agency in confidence by a corporation executive would be exempted from public disclosure.

5. Inter-agency or intra-agency communications, such as memoranda showing how individual decision-makers within an agency feel about various policy alternatives. This category is not meant to exempt from disclosure factual material circulated within an agency.

6. Personnel and medical files, and similar files which could not be disclosed without a "clearly unwarranted invasion" of someone's privacy.

7. Investigatory records compiled for law enforcement purposes (such as files compiled by the FBI in a criminal investigation)—but only if the production of such records would (a) interfere with law enforcement, (b) deprive a person of a fair trial, (c) constitute an unwarranted invasion of personal privacy, (d) disclose the identity of a confidential source and, in criminal and lawful national security intelligence investigations, confidential information furnished only by such a source, (e) disclose investigative techniques, or (f) endanger the life or safety of law enforcement personnel.

8. Reports prepared by or for an agency responsible for the regulation or supervision of financial institutions, such as reports prepared by the Securities and Exchange Commission concerning the New York Stock Exchange.

9. "Geological and geophysical information and data, including maps, concerning wells." This refers to reports based on explorations by private gas and oil companies.

Despite the eight-year existence of the FOIA, few test cases have reached the Supreme Court for definitive decision; however, these Supreme Court decisions have shed light on how the FOIA withstands constitutional challenge. In the 1973 *Environmental Protection Agency v. Minick* case the Court said that the public's access to governmental records could not operate unless certain kinds of information in the broad range of national security could remain confidential.

This was the only interpretive decision of the Supreme Court until a few weeks ago when in cases involving the Sears, Roebuck Company and the Grumman Aircraft Corporation the court gave an interpretation of the fifth exemption. The court held that, on narrow grounds, disclosure of an agency's files with respect to underlying documentation could be kept secret, and the court made reference to the need for the confidentiality of advisory communications within government agencies.

An important case litigated by the ACLU is now on the court docket involving further interpretation of the sixth and the second exemptions. The case involves *The New York Law Review* and its efforts

seeking access to the records of the U.S. Air Force Academy relating to its disciplinary system, for use in connection with the law review's study of the academy's honor-code system. Eventually the Supreme Court will have to rule whether, when an agency has the final word in determining if, under exemption 6, disclosure would cause a clearly unwarranted invasion of privacy, the material in question can be submitted to a court for an *in camera* review as to deletion of personal identification references. And moreover, whether or not, when a substantial public interest exists in obtaining documents, the rule barring release of materials pertaining to internal agency personnel rules and practices takes precedence.

There are new cases winding their way through the labyrinth of administrative and local court proceedings, cases that hold special interest to libraries and historians. These cases concern the release of government file material to scholars studying particular historical periods—in this instance the Alger Hiss and Rosenberg perjury and espionage cases of the 50s.

The decisions of the Supreme Court that I have mentioned deal with demands for governmental information and the court's construction of the First Amendment need. But the Supreme Court has provided other guidelines when it was argued that the need for privacy deserved first attention. The integrity of the individual was stressed in the 1965 *Griswold* case upholding the right of marital privacy in obtaining contraceptive devices. The 1967 *Katz* decision voiding a warrantless wiretap of phone booths stated that an individual's privacy could be invaded only if the government showed a reasonable purpose for the invasion. All of these decisions provide some help in trying to establish the line where access or privacy interests should prevail. But new social developments have created new problem areas.

Largely the result of the technological revolution in systems for storing, retrieving, and disseminating information, there is a growing consciousness about how easily privacy can be invaded. The computer age has educated people to realize how instantaneously and widely the minute details of a person's life can be circulated. With the government's power to amass data, often necessary to deal with complicated problems of today's society, there is justifiable concern over the wrongs to individuals that can flow from misuse of government information. So new legislation aimed at preserving the privacy of persons against the maw of government computers has been adopted.

The Privacy Act of 1974 is really a system of fair information practice, a set of standards to which personal data record systems, and especially automated systems, must adhere. Specifically, no personal data record system can be kept secret; people can discover information about themselves in the system and how such data is being used; information gathered for one purpose cannot be used for another without the individual's consent; individuals can correct or amend information in their records; agencies creating or using the data are responsible for its reliability and its use. Although the problem here is

not so much the conflict between competing *needs* of access and privacy, how the routine collection of information can adversely affect an individual's privacy, it is mentioned here to show the broad dimensions of the information-privacy problem.

A checklist of legislation and court decisions provides vital background for defining the scope of competing needs between access and privacy. However, it is the everyday struggle to preserve civil liberties that broadens our understanding of how this conflict generates tension between competing rights and needs. The following represents the ACLU's experience in evaluating the conflict. Four major areas stand out:

1. The general assertion by government of the need for keeping information secret, an assertion demonstrated by efforts to classify data with labels of "secret" or "top secret" when release of the information is presumed to affect gravely the national welfare. The tight vise of "national security," placed over so much information in recent decades, exemplifies this category and points up the harm done by a government covering up mistakes and abuses of its power. The final twist of this vise is the demand for a prior restraint on publication, as in the Pentagon Papers case.

2. The issue of governmental investigation before the matter becomes public by virtue of a criminal prosecution. Here the conflict is joined because of the obvious governmental need to collect information secretly before the law enforcement process reaches its final stage—public indictment—and the public interest guaranteeing a defendant a fair trial by making sure that the defendant has access to information necessary for his defense.

3. Information assembled in the form of internal memoranda for advisory purposes, the thorny field of executive privilege which was so thoroughly explored in the Watergate affair. Obviously, any executive needs advice from trusted counselors and others so that decisions can be made intelligently, on the basis of full information and frank advice. Such advice could not be given if private conversations are to be the subject of open congressional investigation and media reporting. The converse argument, of course, concerns the need of the Congress, as the public's representative, to know how laws are being enforced, and the need of litigants who have suffered injury for evidence to prove their cases. The dilemma might be resolved by drawing a firm line between allowing an advisory (privacy) privilege for recommendations, advice, and suggestions passed on for consideration in the formulation of governmental policy on the one hand, and facts concerning what has been done on the other.

4. Information for which nondisclosure is claimed under the exemptions to the FOIA, and especially where the government claims to be protecting the "privacy" of third parties. This argument is becoming more and more a part of the government's position in sensitive cases. An example is the requests by scholars for information in government files about the Hiss and Rosenberg cases, requests

rejected because of an expressed concern for individuals named in the files. This recognition of privacy by government may be genuine or, as some critics have observed, may be a ruse employed by government to preserve secrecy, now that the courts and public opinion are rejecting the dragnet definitions of national security employed since the end of World War II. And the government's claim is further weakened when third parties, such as Alger Hiss, eschew their own claims to privacy and want the material released for the purpose of historical study.

Above are some of the horns of the civil libertarian's dilemma. An answer to the questions is still demanded. Is there a solution to the conflict? Unless one takes the absolutist position of simply choosing one right over the other (and there are reporters and attorneys who regard the public's right to know as paramount), the answer is that each individual case provides the context for judging on which constitutional side the best argument falls. But even if one accepts the wisdom of a case-by-case approach, there are certain guidelines which can help determine which path to follow:

1. Because access to information is so vital, we cannot tolerate any form of prior restraint other than those very rare instances in which disclosure would directly and adversely affect the nation or the rights of citizens. For example, the publication of technical details of military operations or weaponry might be justly restrained. The efforts of government in recent years to restrain the press and thus deny information to the public seems to make clear the wisdom of a no-prior-restraint policy.

2. In the same vein we must maintain a vigilant watch over criteria offered by the government for keeping information secret. The incantation of the magic phrase "national security," which so abused the public's need to know what their government was doing, illustrates the problem.

3. Release by the government of specific kinds of information and records which directly intrude on the privacy of the individual should not be tolerated. Examples are details of medical records of individual persons treated in public hospitals, personnel employment files of public employees, and information prejudicial to a defendant in advance of trial. Here the right of individual privacy takes precedence over access to information. In keeping with the spirit and letter of the Privacy Act of 1974, we must carefully check with the individual concerned to obtain consent before information that government has amassed is disclosed. This has particular application to persons held in such public institutions as mental hospitals and prisons, where true, informed consent may be difficult to obtain.

4. The deletion of names and other identifying information from files made public seems a sensible arrangement, provided all other factual information and opinion are retained. This is an effort to accommodate both access and privacy needs, yet may not satisfy pro-

ponents of both sides. In following their traditional demand for authenticity, the press may believe that names and addresses are crucial to their story; and the individual may feel that even deletion of names and direct identifying information is not sufficient protection. As the argument goes in a celebrated case now back in the New York courts involving a psychiatrist's book on one of his patients, the deletion of identifying matter still leaves enough information to expose the patient to those within his particular occupation who know him.

5. Materials treating social and political issues have obvious First Amendment value and must be treated differently from materials of a commercial nature, where profit is the motive. Examples are the efforts of a commercial wine hobby group to obtain from the IRS the names of people whose income tax expenses include wine purchases so that their business might be solicited for a grow-wine-in-the-home promotion; or the sale of state motor-vehicle registration lists to private companies hawking auto services. The value of preserving personal privacy in such cases is far greater than the value of refusing to disclose to the press the names of private peanut growers who receive the largest Department of Agriculture subsidies.

6. The proximity of the person in question to the historic or other public event is a standard for judging the protection of privacy. For example, witnesses and other central figures in the Hiss and Rosenberg cases do not have the same degree of privacy with respect to the cases as do unauthorized third parties. Similarly one must question the time relationship of the information to the issue being studied. Is it necessary to release data on an individual's participation in an event thirty years ago when the target of the disclosure is a current event? Conversely, is it necessary to give the same degree of protection to information about a person's involvement in an historic event as it is to his involvement in a current event?

7. The individual who is willing to talk about the case or have his role exposed—the Alger Hiss example—obviously waives his right to privacy.

8. The application of the one test which represents a fundamental ethical concern for civil libertarians, the standard of fairness. Would release of the information, as in the case of raw, unevaluated data in an FBI file, irreparably injure the individual, either in his ability to obtain a fair trial or to repair damage to his reputation?

I do not know whether this exploration of both the constitutional rights of freedom of information and of privacy, and how they might be meshed, fits into the particular operational concerns of archivists. Dealing as I do with the ACLU's own archives at the Princeton University Library, I see the civil libertarian and the archivist sharing parallel concerns. I believe that neither has the perfect answer, but the search, as this meeting today shows, has started. And that is important. For the search may provide the solution.

THE ACADEMIC USE OF ARCHIVES

Report by Mr. Michael ROPER*

The expansion of academic history

Since the founding International Congress on Archives met in Paris in 1950 there has been a worldwide expansion, indeed one might call it an explosion, of higher education, one feature of which has been a growth of the academic study of history and related disciplines. This has resulted in the numbers of those engaged in the pursuit of academic history in the United Kingdom, whether as university teachers or as post-graduate research students, more than doubling between 1961 and 1976. In a wider context, to judge from entries in *Historical Abstracts*, it has led to a trebling of the output of historical monographs and journal articles¹ over the same period (see Table 1). Although there are signs that this growth may now have reached a peak in Western Europe and North America, or may at most be proceeding at a much slower rate, it seems likely that the peak has yet to be reached elsewhere and that the lessons learned by archivists who have had to deal with the full effects of the expansion of academic history may be of value to those who have yet to experience them.

As those engaged in academic historical research have increased in numbers, so their interests have diversified. The three well established branches of historical enquiry — political (or constitutional) history, legal history and ecclesiastical history — have been joined by military history (no longer the restricted preserve of retired generals and admirals), international history and economic history, from which social history has developed more recently as a separate branch. While the number of those engaged in the study of the three traditional branches of history may not have declined in absolute terms, it has certainly declined and continues to decline as a proportion of the total number of those engaged in academic history. Along with this shift in interest to newer branches of history has gone a disproportionate growth in the study of twentieth century history², which has been raised almost to the status of a separate branch of history under the name of "contemporary history".

Moreover, both the old and the newer branches of history, but especially economic and social history, have developed a multitude of sub-disciplines, such as business history, labour history, agricultural history, transport history, each with its own distinct interests, its own methodology and its own specialist journals. In addition a growing band of practitioners of other academic disciplines have specialised in the historical aspects of their subjects to become historical geographers, historians of education, historians of science, technology and medicine, historians of ideas, historians of the arts, etc. Yet others are using historical sources to bring new dimensions to the study of their particular disciplines. Thus

* Text of the preliminary report distributed to members before the Congress.

¹ Of 81 historical journals (excluding those of local history societies) taken by the Library of the Public Record Office of the United Kingdom, 42 were founded after 1950. Most of these recent foundations relate to the history of more recent periods and often to specific branches of history.

² See the relative numbers of pre- and post-1914 entries in *Historical Abstracts* in 1971 and 1976 (Table 1).

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archaeologists working in the medieval and post-medieval periods, and especially marine and industrial archaeologists, are using historical sources to assist them both in identifying sites of potential interest and in the interpretation and restoration of their discoveries³, while linguists are turning from literary to historical sources, long used for personal name and place-name studies, to understand more of the development of language and dialect⁴. Rather different again are the "applied historical studies" of the social and political scientists, which have been defined as "explorations of the past undertaken with the explicit purpose of advancing social scientific enquiries" and in which historical data are used to test hypotheses of general application⁵.

New approaches to history

The involvement of non-historians in the study of historical data has led to a considerable cross-fertilisation between history and other disciplines as a consequence of which historians have adopted and adapted the techniques of those disciplines, especially the techniques of the economist and the social scientist, to develop new approaches to historical studies. The new techniques and approaches are not the exclusive preserve of any single branch or period of history. Nor are they necessarily very new, at least in so far as they involve the collection of large quantities of data, any individual piece of which might on its own be insignificant, from a wide range of sources, spanning long periods of time, to construct broad pictures of society at all its levels. Members of the "Annales" school of history⁶, so called from the journal *Annales, Économies, Sociétés, Civilisations* in which the French disciples of Lucien Febvre and Marc Bloch published their work, were already doing this before 1939 and the epitome of the school, Professor Braudel's extensive transnational study of the Mediterranean region in the sixteenth century, which synthesises climatological, geographical, economic and social data to create new perspectives and understandings, was first published as long ago as 1947⁷. However, more recently this approach has become more general and has given rise to such specialisms as historical demography, in which vital data about individual members of human populations — records of births and baptisms, marriages, deaths and burials — are used to produce generalised information on such topics as fertility, life expectation, age at marriage and illegitimacy rates⁸, and elite studies, which by contrast seek to explain economic, social and political institutions by constructing and analysing detailed biographical studies of their members, an approach, often called "Namierian" after Sir Louis Namier, another pre-war pioneer, which

³ See, for example, the series of papers under the general title "The use of documentary sources by the archaeologist", *Archives*, 13, 1977—78, p. 196—211.

⁴ See, for example, M. Benakin, "Local archives and Middle English dialects", *Journal of the Society of Archivists*, 5, 1974—77, p. 500—14; J. H. Fisher, "Chancery and the emergence of standard written English", *Speculum*, 52, 1977, p. 87—99, and "Chancery Standard and modern written English", *Journal of the Society of Archivists*, 6/3, April 1979, p. 136—44.

⁵ M. Drake, *Applied Historical Studies: An Introductory Reader* (London, 1973), p. 1; see also M. Drake, *The Quantitative Analysis of Historical Data* (Milton Keynes, 1974), p. 23—5.

⁶ See M. Hargar, "Total History: the Annales school", *Journal of Contemporary History* 13, 1978, p. 1—14, reviewing T. Stoianovitch, *French Historical Method, the Annales Paradigm* (London, 1976). For more general studies of modern historical trends see G. Barraclough, *Main Trends in History* (New York, 1979); P. Burke, "Introduction: concepts of continuity and change in history", P. Burke (ed), *The New Cambridge Modern History*, XIII Companion Volume (Cambridge, 1979), p. 1—14; L. Stone, "The revival of narrative", *Past and Present*, 85, Nov. 1979, p. 3—24; E. J. Hobsbawm, "The revival of narrative: some comments", *Ibid.* 86, Feb. 1980, p. 3—8.

⁷ F. Braudel, *La Méditerranée et le monde méditerranéen à l'époque de Philippe II* (Paris, 1947; English translation, London, 1972—73).

⁸ See T. H. Hollingsworth, *Historical Demography* (London, 1969); R. S. Schofield, "Historical demography: some possibilities and some limitations", *Transactions of the Royal Historical Society*, 3th Series, 21, 1971, p. 119—32.

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has been used to study such disparate institutions as the British House of Commons in the eighteenth century⁹ and the French colonial service¹⁰. But it is perhaps not unfair to say that the real impetus to the development of a "new history" has come from the adaptation of the increasingly sophisticated statistical methods of the economist and social scientist to quantify (hence the name "quantitative history") and analyse, usually with the aid of the electronic computer, vast amounts of economic, social and political data from the past. Other new methods adopted by historians include the techniques of psychoanalysis, which have been used to write psycho-histories of individuals or groups¹¹, and the interviewing techniques of the social sciences, which, aided by the development of the portable tape recorder, have led to the development of "oral history". These new methods and techniques have not met with universal acceptance¹² and even within the new schools of history there are disagreements over methodology and interpretations¹³. It is not the archivist's role to take sides in these historians' quarrels, but if he is to serve impartially and effectively the needs of historians he must be aware of the new trends in historical scholarship.

Academic history and archives

The increase in the numbers and interests of scholars involved in the study of history and related disciplines has been accompanied by an increasing reliance on archival material. Although the primary reason for creating and maintaining archives, whether national, institutional or private, has always been the practical one of preserving records for continuing administrative and legal purposes, the use of archival material for historical research has often ante-dated the establishment of modern formal archival institutions. Thus the Maurists in France, the Bollandists in Belgium and Sir William Dugdale and his circle in England were researching in original records in the seventeenth century, long before any of these countries possessed national archives. However, it was not until the nineteenth century, under the influence of Ranke, that the use of archives rather than annals and other literary sources and the thorough criticism of the nature and reliability of all relevant sources became the cornerstones of modern historical methodology and brought historians regularly into the archives. In the twentieth century, and especially over the last decade or so, the numbers of academic users of archives have increased many-fold (see Tables 2 and 3) and generally now far outnumber those who consult archives for legal, administrative, business and other purely practical purposes, although in some archives they are rivalled in numbers by genealogists and amateur historians. The changing patterns of practical and popular uses of archives are to be discussed in other sessions of this Congress and are of no concern of this paper except in so far as all three types of use may compete for the allocation of archival resources and one must insert a word of caution lest enthusiasm for the systematisation of records management on the one hand or for the popularisation of archives on the other¹⁴ should lead to a neglect of the more academic aspects of archival work.

⁹ R. Sedgwick, *The House of Commons 1713-1754* (London, 1970), and Sir L. Namier and J. Brooke, *The House of Commons 1754-1790* (London, 1964).

¹⁰ W. B. Cohen, *Rulers of Empire: the French Colonial Service in Africa* (Stanford, 1971).

¹¹ See B. Mazlish, "What is psycho-history", *Transactions of the Royal Historical Society*, 5th Series, 21, 1971, p. 79-99.

¹² See, for example, J. Barz, *Clio and the Doctors* (Chicago and London, 1974).

¹³ See, for example, the criticism in P. A. David and others, *Reckoning with Slavery: a Critical Study on the Quantitative History of American Negro Slaves* (Oxford, 1976), of the econometrics of R. Fogel and S. Engerman, *Time on the Cross* (New York, 1974).

¹⁴ In this respect O. Krakovitch, "Des archives pour quelle histoire?", *La Gazette des Archives*, 96, 1st quarter 1977, p. 23-31, would appear to overstate the case for popularisation.

The academic use of archives has not only increased in recent years; it has also extended to a wider range of archival material. For although political, legal and ecclesiastical historians have continued to use archives and their numbers have increased, they now constitute a declining proportion of academic users, having been overtaken especially by economic and social historians (see Table 4)¹⁵. At the same time proportionately more academic users of all kinds have extended their interests from archives of the medieval and early modern period to those of the nineteenth and, increasingly, of the twentieth centuries (see Table 5). The increase and diversification of academic use of archives has many implications for the archivist in terms of the nature and scope of the services which he provides. Some of these implications are quantitative and physical, as in meeting increased demands on reading room accommodation and document production systems; others are qualitative and intellectual, as in devising relevant publications programmes and establishing appraisal criteria which reflect the widening interests of users. There are also implications for the training of archivists and for the general allocation of archival resources.

The physical implications of increasing academic use of archives

Any increase in the use of archives imposes greater pressure on reading room accommodation and on document production systems. Even where increased academic use is not the sole factor contributing to such an increase in pressure, the experience of the Public Record Office of the United Kingdom suggests that it plays a disproportionately significant role, since academic users tend to pay more frequent visits to the archives and to consult greater numbers of records on each visit than non-academic users. At the Public Record Office the number of visits made by all classes of user increased by more than two and a half times between 1962 and 1972 (see Table 2) leading to overcrowding and queuing, which was relieved first by converting repository accommodation into additional reading rooms, then by taking over accommodation in a neighbouring building and finally by constructing a new archives building¹⁶. Over the same period the numbers of records produced from the repository for consultation in the reading rooms almost trebled. A contributory factor to this disproportionate increase was the use of archives by those interested in the history of the nineteenth and twentieth centuries and especially in social and economic history. The nineteenth and twentieth centuries witnessed an expansion and diversification of administration which coincided with a change in the forms of record keeping with the introduction of the modern subject file, thus both multiplying the number of potential sources and at the same time restricting the size of each individual source, making it possible to work through it with reasonable speed. Hence the contemporary historian may be able to consult in a working day a dozen or more files from a number of different agencies, while a colleague working in medieval or early modern records may take several days, or even weeks, to work through a single roll, register or letter book. The interest of social and economic historians in masses of data further increases the ratio of productions to users, especially where only specific items of information are being sought, possibly as data for quantitative analysis. For example, between January and September 1978 one research assistant consulted 6,418 nineteenth-century case files at the Public Record Office, Kew, in a quest for such data. Research projects such as this last require spe-

¹⁵ An increase in the use of archives for the study of social and economic history is also reported from Belgium, India, Malaysia, Netherlands, Sweden, USA and USSR.

¹⁶ See E. M. Hallam and M. Roper, "The capital and the records of the nation: seven centuries of housing the public records in London", *The London Journal*, 4, 1978, p. 73-94 (87-90).

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cial arrangements to be made and can distort short-term statistics of use, but a general growth in the number of documents produced to the reading rooms has obvious implications. If this number increases significantly over a period of a few years, either the number of staff required to handle the productions will have to be increased proportionately or the system of production will have to be made more efficient. Locating the records in greatest demand nearest to the reading rooms, which may entail establishing a sophisticated monitoring system and the frequent movement of records in accordance with their fluctuating popularity, may contribute to greater efficiency, but its effect will be limited and a continuing increase in demand may require the introduction of mechanical handling devices and other modern technological aids (automatic conveyors, pneumatic tubes, computer requisitioning systems, etc), which may in turn involve structural alterations or the construction of new repository storage.

The heavier use of popular series of records, especially if they are less substantial modern files containing paper of poorer quality, makes them more likely to suffer deterioration or damage from excessive handling and to require more frequent conservation treatment. Where possible it might be desirable to identify such series at the time of their transfer to the archive and undertake their treatment before they are made available for public inspection. However, the quantities of records involved and their nature may make traditional methods of hand repair by craftsmen too expensive and too time consuming and cheaper, swifter methods may have to be sought. Lamination is often most suitable for this sort of work, although an alternative which may be as effective, less costly and more speedy is conservation reprography which substitutes photographic copies for production in the reading rooms in place of the originals. The National Archives of the USA and the Public Record Office of the United Kingdom have adopted microfilm for the population census records of the nineteenth century and other archives use it for particularly valuable, fragile or heavily used records. An alternative reprographic medium is paperprint from microfilm bound up in codex form, as adopted by the Public Record Office for twentieth-century Cabinet proceedings. In choosing between these two media a number of factors have to be taken into account: the cost in time and materials of printing from microfilm and binding the print as against the cost of duplicating microfilm and the capital cost of microfilm readers; the relative durability of paper prints and microfilm; and the need to set aside suitable accommodation for the exclusive use of microfilm readers, thus sacrificing some flexibility in the use of reading room accommodation. One advantage of the use of either reprographic medium over the production of laminated originals is that further copies to replace any which are damaged can be readily produced and even theft is not a major disaster. Hence it is possible to make such records available on an "open shelf" or self-service basis thus meeting user needs without pressure on document production staff and with less stringent security and handling precautions than one might require for original records.

The development of modern reprographic techniques has wider implications for the academic users of archives. The needs of the scholar working at a distance from the archives have been met traditionally by the publication of transcripts or abstracts of the major series of records and such publications may still serve a useful purpose. However, as trends in historical research move away from the main series of records of central administration to more disparate subordinate records containing the sort of material required especially by economic and social historians and as the main series of records themselves become more bulky, traditional record publications become less useful to the generality of those engaged in academic historical research. Their place is now being taken increasingly by reprographic processes ranging from electrostatic copies of individual documents to mic-

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rofilm (in either roll or fiche form) of whole series or other long runs of records. Microfilm copies of archival material may be provided as part of a formal publications programme, which may be handled by the archives itself, as in the National Archives of the USA¹⁷, or by licensed commercial publishers, as in the Public Record Office of the UK¹⁸. In those countries where distances between major centres of population are considerable, as in Canada, USA and USSR, microfilm copies of major series of records in the national archives in the capital can be placed in branch or local archives in other parts of the country or even made available more generally through an inter-library (or inter-archival) loan system. But the main advantage of the photocopy, whether it is microfilm or electrostatic print, is that it can be customer specific; that is, the individual university, research institution or scholar can select relevant series or even individual records and restrict purchases to copies of these. The customer may have to pay more for this greater flexibility of choice, but may prefer it to a formal micro-publishing programme which is not entirely relevant to his own needs. Moreover, whereas there is no doubt that the filming of a series of records for a branch archive, university or even an individual scholar contributes to reducing pressures on reading room accommodation and on record production systems, there may come a stage in copying individual documents ("extract" work) where the staff costs of identifying, producing and copying are greater than those of facilitating the consultation of the documents themselves and this may have to be taken into account in the archives' pricing policy. Furthermore the handling of records in the copying processes, especially the repeated handling of close-bound volumes or fragile documents for extract work, may bring with it conservation problems and many archives are imposing restrictions on the processes by which they are prepared to copy certain types of material.

The development of electrostatic and other "instant" copying systems has also revolutionised the method of working of the academic user in the archives themselves. No longer does he have laboriously to transcribe or abstract the documents relevant to his research; all he now needs to do is identify those documents and purchase copies. In this way he can make more effective use of his own time, either by spending less time in the archives, which reduces pressure on reading room accommodation, or by seeing more documents in the time he has available, thus adding to the pressure on the document production system. *

The intellectual implications of increasing academic use of archives

Since for most academic users of recent records the microfilm and "instant" copy have very largely replaced traditional publications of transcripts and abstracts, the role of archival publications may have to change, becoming more an element of the archives' reference services in supplying the potential user with information which will either facilitate and expedite his research when he visits the archives or enable him to order microfilm or other copies without needing to make a visit. Increasing and more diverse uses of archives imposes additional burdens on archival reference services. Sheer growth in the numbers of users may mean that the archivist can devote less and less time to each individual, while the increasing volume and complexity of the records makes the task of the uninitiated user increasingly more difficult. It is not desirable that the user, especially a newcomer, should be left entirely to his own devices, but it is generally more economical to employ scarce expert manpower to distil the archivists' knowledge into written form which the user can consult

¹⁷ See F. B. Evans, *The Selection and Preparation of Records for Publication on Microfilm*, National Archives Staff Information Papers No 19 (Washington, DC, revised 1970); *Catalogue of National Archives Microfilm Publications* (Washington, DC, 1974).

¹⁸ 20th Report of the Keeper of Public Records (London, 1979), paragraph 32.

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himself, that is to help the user to help himself. Foremost in the tools which the user needs to forward his research are finding aids, which can be of four general types: those which direct him to the relevant archival institution; those which enable him to understand the arrangement of records in the archives and direct him to the relevant groups, classes, series, collections, etc; those which provide him with specific references to individual items; and those which enable him to understand the records when he has found them.

The extent to which archives are disposed between different types and levels of archival institution varies from country to country. In countries with a centralised national archives service this may be a relatively small problem, but in other countries it can be a major initial problem for the scholar to identify relevant holdings in national and local government archives, in manuscript departments in national or university libraries, in other types of archives or even in private hands. Hence the first finding aid which is required is a centralised register of information about archival collections within a country. This register may take the form of published union catalogues, as in Canada, USA and USSR¹⁹, or of a centrally held and indexed collection of individual guides and lists, as in the National Registers of Archives in London and Edinburgh, which not only take in lists and other finding aids from archives but also sponsor or undertake themselves the production of such works. In many other countries consideration is being given to establishing such a central register of archival holdings, often within the wider context of an information network which covers also information about the holdings of libraries and documentation centres. Such a network may be given the name of NATIS (National Information System) or some other acronym.

National registers of archives may be supplemented by multi-national or multi-institutional guides to sources for the history of particular regions, like the *Guide to the Sources of the History of Nations* sponsored by the International Council on Archives, or of particular topics, such as, for example, shipping or insurance records²⁰. Such subject orientated guides often provide a valuable initial service in leading the scholar to relevant sources, but they cannot always be sufficiently detailed to enable him to go direct to the individual documents concerned without using the archives' more detailed finding aids.

Most new users of archives, and especially non-historians, find the arrangement of archives in accordance with the agencies which created them rather than by subjects difficult to grasp and this has become especially so as administration has become more complex and has extended into new areas of activity. Agencies are being created, divided, merged or abolished at seemingly more frequent intervals with consequent dislocation of their records, so that, for example, 27 % of the record series in the Australian Archives were created by more than one agency²¹. Since academic administrative historians are moving only slowly into more than a superficial study of twentieth century administration²², it is incumbent on the archivist to be an administrative historian and to explain to users the administrative background to records in his archives and the arrangement which they have acquired as a consequence. This purpose is served primarily by the archives' general guide, but the increasing volume of new accessions and additions makes it difficult to keep such

¹⁹ Eg. *Union List of Manuscripts in Canadian Repositories* (Ottawa, 1975); Library of Congress, *The National Union Catalog of Manuscript Collections, 1959-61* (Ann Arbor, Michigan, 1962); *Lichniye Arhivnye Fondy v Gosudarstvennykh Khramislachakh SSSR* (Moscow, 1963).

²⁰ P. Mathias and A.W.M. Pearsall, *Shipping: a Survey of Historical Records* (Newton Abbot, 1971); H.A.L. Cockerell and E. Green, *The British Insurance Business 1547-1970: an Introduction and Guide to Historical Records in the United Kingdom* (London, 1976).

²¹ See P. J. Scott, "Facing the reality of administrative change — some further remarks on the record group concept", *Journal of the Society of Archivists*, 5, 1974-77, p. 94-100.

²² See M. Roper, "Public records and the policy process in the twentieth century", *Public Administration*, 55, 1977, p. 253-68.

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a guide up-to-date and in an effort to overcome this difficulty some archives have computerised the processing of their guides either for publication, as at the National Archives of the USA²³, or for use within the reading rooms, as with the PROSPEC system in the Public Record Office of the UK²⁴.

An extension of this general guide is the "handbook" or special guide. This may be a guide to the records of a particular agency, or of a number of related agencies, dealing in more detail than is possible in the general guide with the administrative history of an agency, the subjects with which it was concerned, its methods of working, its system of record keeping and the arrangement of its records in the archives. Alternatively it may be a guide to records relating to a particular topic from the whole range of the archives' holdings. Examples of both types have been published in the *Handbook* series of the Public Record Office of the United Kingdom²⁵ and examples of the second type have also been produced in France and the USA²⁶.

Having identified from the general guide and any special guides the groups, classes, series, collections, etc, which are likely to be relevant to the subject of his enquiry, the scholar needs next to identify items of specific interest. The most effective way of meeting this need is to give him access to more specific finding aids, such as inventories, lists and indexes. The more detailed such finding aids are, the less random and speculative will be the scholar's research, with a consequent saving in his time and in pressure on reading room accommodation and the document production system. Lists giving at least the title and covering dates of each separately producible item (i.e. file, folder, map, photograph, etc) are desirable. More detailed lists describing the contents of each item and indexes would be additional benefits, but in new archives with an initial intake of unlisted and, perhaps, largely unsorted records such a counsel of perfection may be an unjustifiable luxury and even established archives may find that the procedures and resources which were adequate for accessioning, arranging and describing records in a more leisurely age cannot keep pace with the flood of modern records which they are now receiving. In these situations it may be better to have some sort of finding aid to each class, series or collection, no matter how brief, inadequate and temporary, rather than detailed lists of only the "more important" classes, series or collections or union indexes which fall further and further behind each year. In the longer term the archivist may expect the computer to assist him in providing more and better finding aids, but it is the general experience of those who have hitherto used the computer for this purpose that the preparation of the data for input to the computer remains a time consuming process and benefits only arise when data are to be output in several different orders or when old and new data are to be merged.

Where formal publication of finding aids is an established tradition, it may be advisable to consider whether such publication should continue if it diverts resources which might otherwise be devoted to producing finding aids to records which are still undescribed. Although this would appear to be neglecting the user at a distance in favour of the user in the archives, this is not necessarily so, for modern reprographic processes make it possible to supply the user at a distance with finding aids of specific interest to him without much

²³ M. H. Flashbein, "ADP for archives management", in L. Bell and M. Roper (eds), *Proceedings of an International Seminar in Automatic Data Processing in Archives* (London, 1975), p. 30-8 (36); *Guide to the National Archives of the United States* (Washington, DC, 1974).

²⁴ P. Simmons, L. Bell and M. Roper, "PROSPEC: a computer application for the PRO", *Journal of the Society of Archivists*, 4, 1970-72, p. 423-7; M. Roper, "The use of computers for archives management in the Public Record Office", in Bell and Roper, *op. cit.*, p. 8-29 (14-23). For the general principles for computerising data at this level see A. Arad and L. Bell, "Archival description - a general system", *ADPA*, 2/3, 1978, p. 2-9.

²⁵ E. g. *The Records of the Foreign Office, 1782-1939* (London, 1969); *The Cabinet Office 1845* (London, 1975); *Records of Interest to Social Scientists 1919-1939: Employment and Unemployment* (London, 1978).

²⁶ E. g. *Guide des sources de l'histoire des États-Unis dans les Archives françaises* (Paris, 1976); *Federal Records of World War II* (Washington, DC, 1950-51).

difficulty. Indeed many archives which do have a policy of publishing finding aids now do so by means of such processes because conventional printing has become too expensive.

Even when he has located documents relevant to his research, the scholar may need further assistance in evaluating the information which they contain in their administrative context: by whom and for what purpose were the documents produced? how wide was their circulation within and outside the originating agency? what is common form and what is exceptional? Historians working in the medieval and early modern periods are accustomed to asking such questions of the documents which they are studying and will almost certainly have received some formal instruction in diplomatic, but less attention has been given to the study of the diplomatic of more recent documents: to paper keeping systems — registration, distribution, drafting and authorisation, circulation; to the make up of document assemblies — entry books, registers, files, folders; to the forms and conventions of individual papers — letters, minutes, memoranda, forms. Often the only persons who will have had to study the diplomatic of modern documents in any depth will have been the archivists who have been responsible for their selection for preservation, for their arrangement and for their description in the finding aids, and their knowledge should be made widely available through guides, handbooks, introductory notes to finding aids, and personal contact within the archives. The archivist should also take advantage of any other opportunity which may present itself for the dissemination of information about the records in his charge. This may involve writing articles for publication in learned journals or participation in historical and other seminars and conferences, especially those to which a knowledge of the content and make up of archival sources is relevant. In this last respect more archives might follow the example of the National Archives and Records Service of the USA in organising conferences which bring together archivists, historians and other users or potential users of archival sources to share their knowledge and to discuss matters of mutual concern and in publishing the proceedings of those conferences to reach an even wider audience. At a less exalted level the archivist might be involved in the post-graduate training of new academic users of archives. This is already done in some post-graduate history schools by inviting archivists to participate in lecture courses or seminars, but it might be worth considering whether the archives itself might not run formal introductory courses for new academic users.

Changing academic uses and the appraisal of records

The changing and widening of the interests of academic users of archives mean that archivists must take a broader view when establishing criteria for the appraisal of records. It is no longer adequate to produce guidelines for selection for permanent preservation as generalised as "matter likely to be of value as a precedent or to be of historical or legal importance", which was the form of words used in Public Record Office Schedules before the War of 1939-45, even if one adds "or useful for social or economic research", as was done in Schedules of the 1940s and 1950s. Now appraisal criteria must be much wider and more explicit: for example, the Public Record Office now defines thirteen general categories of records which should be preserved²⁷ and these are supplemented by more detailed criteria relevant to the records of each specific government department or other transferring agency. Indeed the range of interests which should now be considered in appraising records is so wide that specialist advice may well be necessary in some cases. How such advice is obtained will vary from archive to archive: at the one extreme there may be a statutory provision for the participation of an advisory body of historians and other scholars in the appraisal process; at the other extreme a more informal approach, calling on

²⁷ Public Record Office, *A Guide for Departmental Record Officers* (3rd ed, 1971), Appendix A.

appropriately qualified specialists as need arises, may be preferred; in between there is room for a wide range of individual variations.

One particular area in which a change of emphasis in the approach to appraisal has been noticeable in recent years is that of "case" or "particular instance" papers, defined as "very large groups of papers, the subject matter of which is the same, though each relating to a different person, body or place"²⁸. One solution of the 1950s to the problem of the bulk of such papers was to preserve "only those papers ... which are capable of being reduced to a statistical sample" and to preserve none "solely because they contain information which might be useful for genealogical or biographical purposes"²⁹. Since then, however, the development of quantitative techniques has made such records prime sources for economic and social history. At the same time modern technology has brought new dimensions to the issue. In the first place the use of computers enables data from even the most bulky series of case papers to be manipulated and analysed relatively expeditiously and economically, although identification, interpretation and preparation for input to the computer of data is still a long and expensive process whether it is done by research assistants transferring data from the records to coded input forms or by direct entry from the original records or from edited photocopies. In the second place the kind of data which used to be recorded in conventional case papers are now being handled by computers in the collecting agencies. They are, therefore, available from the start in a machine-readable medium, can be transferred to the archives in such a medium and can be reused by scholars in that medium without the need for expensive data preparation. At present the machine-readable records which are being produced are primarily concerned with quantitative data of this case paper type, but as (or perhaps if) we move into the era of the "paperless office" of computerised word processing, electronic message switching and on-line data bases, the archivist will find more and more types of conventional records being superseded by machine-readable versions. Machine-readable records being much more compact than their conventional equivalents or even microfilm do not present the bulk problems of conventional case papers, but they do present different problems which are not without attendant cost considerations³⁰. In the third place the computer offers the option of transferring data from bulky conventional case papers to storage in a more compact machine-readable form, with the consequential destruction of the originals. For the present the high costs of data preparation, the low rate of data transfer and the need in many cases to identify, select, interpret and code data before transfer makes this an extremely expensive and time consuming option which may be justified only in those cases where immediate analysis of the data is envisaged. In the longer term the use of optical character recognition (OCR) devices to convert text direct into a machine-readable medium may enable data to be transferred more economically, but for the present such devices are expensive, can read only a limited range of type fonts and stylised handprint (indeed one wonders whether they will ever be able to read every hand written paper) and have slow read-rates and high error-rates. So far as records are created in a machine-readable form, the archivist has a moral obligation to preserve those which are of continuing value for historical and other research purposes. Indeed he may have a statutory duty to do so where machine-readable records are included within the definition of public records, either specifically, as in the Canadian *Public Records Order, 1966*, (s. 2 (b)), or within a broader defi-

²⁸ *Report of the Committee on Departmental Records* (London, 1954), para 62.

²⁹ *Ibid.*, para 108.

³⁰ See L. Bell, "The archival implications of machine-readable records", *Archivum*, 26, 1979, p. 85-92; C.M. Dollar, "Computers, the National Archives and researchers", *Prologue*, 8, 1976, p. 29-34; C.M. Dollar, "Appraising machine-readable records", *American Archivist*, 41, 1978, p. 423-30; M. Roper, "The changing face of the file, machine-readable records and the archivist", *Archives*, 14, 1979-80, p. 145-50; C.L. Geda, E.W. Austin and F. X. Blouin (eds), *Archivists and Machine-Readable Records* (Chicago, 1980).

dition as in the United Kingdom *Public Records Act 1958* (s. 10 (1)) or the Kenyan *Public Archives Act, 1965* (s. 2); elsewhere archival legislation, by trying to be too explicitly inclusive, inadvertently excludes machine-readable records³¹. In appraising machine-readable records the archivist's knowledge of the kinds of computer analysis which scholars are now making of series of conventional case papers will be relevant; but while technological advances may hold out hope for the future, the archivist can at present expect no facile solution to the problems of the bulk of these case papers in computerisation and he must seek solutions elsewhere.

Another option for data compression provided by modern technology is microphotography, but here also the savings by the reduction of bulk are offset by costs in other areas and it is still a fairly general experience that microfilming to archival standards where the originals are on papers of varying shapes, sizes and colours and are written, typed or printed in inks of varying colours and densities, taking into account all the attendant costs of equipment and staff for filming, processing and retrieval, is more expensive than the preservation of the originals, at least in cheap bulk storage³².

One way of reducing bulk which is already used by archivists is the preservation of a sample only. There appears, however, to have been some confusion in the past as to what constitutes a sample, and many so called "samples" may be rather selections of notable cases, specimens illustrating the forms of the records, representative selections illustrating procedures and types of case, or cases from "typical" geographical areas, institutions, years etc. Samples, or, more properly, "statistical samples", should be selected to represent accurately the whole body of the series (or "population") from which they are drawn, thus enabling descriptive statistics derived from the selected sample to be used to generalise about the series as a whole. Such statistical samples may be of two kinds; the "serial" or "systematic" sample, in which every tenth, twentieth, hundredth, etc, unit is taken from the series to create a sample of the required size; or the "random" sample, in which every unit in the series has an equal mathematical chance of inclusion in the sample, units being drawn from the series in accordance with a random numbers table until the required size of sample has been achieved. Where statistical sampling has been undertaken by archivists, it has more often been of the former kind, but this method is not without its dangers and should be used with caution. In both kinds of sampling the size of the sample is more significant than its proportional relationship to the whole series and is affected by such factors as the number of separate items of information ("variables") recorded for each case. When the archivist is faced with the possibility of sampling a series of case papers he must, therefore, consider carefully the most appropriate method of sampling and the optimum sample size in the special circumstances of that series. He may be well advised to consult an expert in quantitative methods and possibly even to use a computer to test the accuracy of samples of different sizes and drawn in different ways before he makes his final decision³³.

Another method of dealing with bulky case papers of potential value for quantitative analysis might be to retain them in low cost bulk storage for a limited period, during which time their availability for such analysis would be publicised and facilities would be provided for scholars to consult them for that purpose but not for the production of individual

³¹ In this respect article 2 of S. Carbone and R. Oulze, *Draft Model Law on Archives: Description and Text*, Documentation, libraries and archives: studies and research 1 (Unesco, Paris, 1972), is inadequate.

³² See P. M. Barnes, *Microfilming and the Archivist*, RAD Occasional Papers 1 (PRO, London, 1973), para 14.

³³ On sampling see R.S. Schofield, "Sampling in historical research" in E.A. Wrigley (ed), *Nineteenth-century Society: Essays in the Use of Quantitative Methods in the Study of Social Data* (Cambridge, 1972); Public Record Office, *The Sampling of Records for Statistical Use*, RAD Occasional Papers 5 (London, 1975); E. McKay, "Random sampling techniques: a method of reducing large homogeneous series in Congressional papers", *American Archivist*, 41, 1978, p. 281-9.

papers for reference in the reading rooms or for the answering of specific enquiries. At the end of a set period the value of the papers might then be reconsidered in the light of any work done on them and a decision taken to keep them in their entirety, to keep a sample or to destroy them all; only exceptionally would a further period of interim bulk storage be considered.

Another area where technological innovation has brought new kinds of records within the ambit of the archivist and created problems of appraisal, as well as of specialist storage requirements and finding aids, is that of audio-visual records: that is photographs, cinematograph films and sound recordings. Here the archivist will probably find little difficulty in obtaining advice on the value of individual records as illustrative of the technical and artistic development of the respective media, indeed he may find the problem is more one of balancing conflicting advice. What he may find more difficult is assessing the general historical value of the records, where there is likely to be less access to external advice and where he may find that it requires considerable research to confirm the historical authenticity of the material the records contain³⁴. One special problem in this area is that of the involvement of the archivist in oral history which may convert him from the impartial, passive appraiser of records created by others to the active creator of records. The value of oral history programmes cannot be denied; nor can the propriety of the preservation of the products of such programmes, whether these are original recording tapes or transcripts, by the archivist. It is, however, more questionable whether the archivist should be involved in the creation of such records, which is perhaps more properly the preserve of those academic disciplines — history, anthropology, ethnography, archaeology, sociology, linguistics, etc — whose practitioners know the right questions to ask and can best interpret the replies received. Perhaps the ideal structure for an oral history programme would be a multi-disciplinary team and certainly the archivist, as the ultimate custodian of the ensuing records, should be a member of any such team. Indeed, since the same network of field workers and local contacts may serve equally well as the basis of an oral history programme as of a survey of locally created and preserved written historical records, it may not be inappropriate that he should initiate and co-ordinate such a wider enterprise. Moreover, where suitably qualified manpower is scarce he may even be justified in sharing in the field work, although if he does he should be trained in interviewing techniques and be fully briefed as to the requirements of those scholars who are going to use the oral history archives which he produces.

New academic uses of archives and archival training

There are many views on the ideal curriculum for the training of archivists: at one extreme is the view that training should be based on the methodological aspects of the archivist's work, that is on records management, repository procedures, classification, the production of means of reference, conservation and reprographics, and should be conducted, where a separate archives school is not feasible, in association with a library school; at the other extreme is the view that it should be based on the academic aspects, such as history (especially administrative and legal history), palaeography and diplomatic, and should be conducted in association with a school of history. Perhaps the ideal curriculum lies somewhere between the two extremes, the precise position varying somewhat to meet the specific needs of individual countries or institutions. Certainly one would expect the impact of changing patterns of academic use to be reflected in archival training and professional development and any archivist who might be expected to have to deal in any way

³⁴ On the problems of cinematograph films see C. Coulam, "Film as an historical source: its use and abuse", *Archives*, 13, 1977-78, p. 12-19; on photographs see the series of articles under the title "Photography and archives", *Archivaria*, 3, Winter 1977-78, p. 3-142.

with recent records to be given a sound appreciation not only of their methodological aspects but also of their potential value to scholars. Thus in addition to an awareness of the special storage requirements of new media and of current developments in conservation and reprography he should have a grounding in the history of the administrations which created the records and in historical method and new research interests and techniques. Moreover these should be subjects for study not only in the course of the archivist's initial training but throughout his career and it is important that due consideration should be given to them in professional literature and in the programmes of archival associations as well as in formal post-entry training courses³⁵.

Continuing traditional academic uses of archives

Although this paper has been largely concerned with new approaches to history and their impact on the archivist, one must not forget that the traditional approaches to history still have their followers and that there are considerable numbers of scholars who seek to explain the actions of central government, to understand the intricacies of diplomatic relations or to trace the evolution of legal principles and who are interested in periods other than the nineteenth and twentieth centuries. It is important, therefore, that the archivist should not become so preoccupied with the interests of new users that he neglects those who have been his main users in the past and who may once again be his main users when current fashions change.

Resources and priorities

The expansion, both quantitatively and qualitatively, of the academic use of archives in recent years and its impact on so many areas of archival work face directors of archives with a number of difficult questions in assessing their overall resource requirements and in the allocation of resources between the several branches of archival activity. What weighting should be given to the volume of academic use in relation to other types of use and to other factors, such as the quantity of archival holdings and their rate of accrual, in determining appropriate levels of budget and staff? How should available resources be divided between a conventional publications programme and the development of a reprographic service? What should be the relative allocation of resources for work on medieval, early modern and contemporary records? In work on contemporary records what relative priorities should be given to guides and similar publications, to improved finding aids, to machine-readable archives and to oral history programmes? What are the financial implications of sampling as against those of preserving greater quantities of case papers for a limited period and in bulk storage? This paper can provide no answers to these or other questions relating to the allocation of resources, which must vary according to individual circumstances. Its purpose has been to stimulate a discussion of such questions and an interchange of ideas and experience in relation to their solution.

³⁵ For recent restatements of the two approaches to archival training see F.B. Evans, "Post-appointment archival training", and H.A. Taylor, "The discipline of history and the education of the archivist", *American Archivist*, 40, 1977, p. 57-74 and 393-402. See also M. Cook, "Professional training: international perspectives", *Archivaria*, 7, Winter 1978, p. 28-40, and "Professional training of archivists: problems of modernisation and harmonisation" *Unesco Journal of Information Science, Librarianship and Archives Administration*, 2/3 July-September 1980, p. 150-8; D.M. Smith, "The archivist's personal involvement in historical research", *Archives*, 12, 1975-76, p. 167-9.

The policy of access to archives: from restriction to liberalization

by A. Wagner

*Tout citoyen pourra demander dans les dépôts, aux jours et aux heures qui seront fixés, communication des pièces qu'ils renferment; elle leur sera donnée sans frais... avec les précautions convenables de surveillance.*¹

This principle, rightly labelled 'the Declaration of the Archival Rights of Man', opened up the era of accessibility to archives.

Functions of archives, past and present

Ever since writing entered the history of mankind, and thus led to the rise of high civilizations, archives have served rulers of nations as the spiritual part of their treasury, as their 'arsenal of law'.² Whether recorded on stone or clay tablets, on papyri or palm strips, on parchment or paper—archives have always been preserved in strict secrecy and under close protection; depending on their quantity and on existing facilities, they were kept in locked rooms in sacks, boxes, crates or shrines, usually in the treasury.³ With the beginnings of the modern territorial state at the end of the Middle Ages, organized 'secret archives' began to develop in some countries, housed in annexes to, or separate buildings of, the central administration. These still comprised both the chancellery with its registry of current records and the 'archives' proper, neither of which was clearly defined nor separated from the other.

During the whole of this period, scientific research, in so far as it already existed, was not admitted to the archives. It was the French Revolution which, by its Archives Act of 1794, launched the modern era in the history of archives. The law was the starting-point for the gradual rise of a new function of archives as 'arsenals of history'. The Revolution had initiated the new stage, institutionally by the creation of the first modern archives in the world and legally by the first modern archives Act. Far more important: the French Revolution, followed by the Napoleonic period and later by the industrial revolution, aroused the minds of the people all over Europe and led to a gradual democratization and nationalization of the social structure and public life. Thus modern historiography,

¹ Article 37 of the Law on the 'Organisation des Archives de la République', 7 Messidor, an II (25.6.1794).

² The subsidiary role of archives as both the 'dépôt légal' and organ for official promulgation to the people (this latter function nowadays assumed by the printed publications of the State) need only be briefly mentioned here.

³ Examples of this kind of 'archives keeping' may still be found in old churches, chapters and monasteries where the treasure and the archives are preserved together, in one place, the treasury.

with its strong trend, stemming from humanism and rationalism, towards the growth of historical writing based on critically explored and evaluated sources, began to develop. The natural conditions for this had been prepared by the territorial development of the Revolutionary and Napoleonic era: through the expropriation of the ecclesiastical lands and of the bulk of small secular territories in large parts of Europe, the continent was left, with a reduced number of States with larger and somewhat more compact territories. These territorial changes in Europe were, on the whole, upheld or even continued by the Congress of Vienna, so that although masses of records, including a great many precious old parchments, were scattered to the winds and lost for ever, the archives of the new States had to take over numerous and comprehensive holdings from the territories which had been dissolved.

Thus, archives were developing their modern function, while keeping much of their classical one: the old function of the spiritual treasury, the arsenal of law, serving the ruler, his government and administration, was supplemented by the new one of the arsenal of history.

Parallel to the consolidation of this double role of archives and closely linked with the strong trend towards centralization in modern State administration, the characteristic secrecy (up to that time always an essential feature of archives) gradually diminished during the nineteenth and the first decades of the twentieth century, while the accessibility of archives increased in like measure. There was also a growing tendency to centralize 'the national archives' in one place.

In principle, modern State archives as well as municipal (town) and regional (district, provincial) archives still have to fulfil the same double function: (a) as archives of the administration (arsenal of law); and (b) as historical archives (arsenal of history). In the first case, the archives satisfy the practical demands and needs of administration and government, in the second, they assist the discovery of truth in historical research; in one function they are a servant of the society, in the other a tool of science.

It is only since the end of the Second World War that the notion of the accessibility of archives, previously almost exclusively benefiting historical, i.e. scientific research, has widened its meaning to the proper sense of the word so that, increasingly, the modern mass media have become clients of archives.

However, with the rising interest of research and the public in archives, the State, as owner, remained strongly conscious of the institution's importance as a spiritual arsenal. It is contended that it began to devise a skilful means to thwart, or at least to limit, its growing use. This was done by the systematic introduction of technical delays which neutralized the interest, without refusing or restricting access. Rules were introduced that in many cases heavily hampered historical research. In some countries, delays of ninety and a hundred years were imposed. Since that limit of the delay was generally a fixed date, the delay gradually extended with the progress of time.

During the closed period only researchers whose 'loyalty' was beyond all doubt were admitted, in exceptional cases, to narrowly limited holdings. However, as the authoritarian State was transformed into a constitutional and parliamentary one, regulations were issued which gradually shortened the delay. Accordingly, the strict distinction between open and closed periods was replaced by differentiated systems: (a) between the open and the closed periods, a 'restricted' one was inserted, the holdings of which were made accessible to graduate scholars under special agreements; (b) apart from the chronological division into three periods, a difference was made according to the contents of the holdings, so that some were made available and others restricted or even kept closed; (c) as for the periods, mobile years of limit were introduced which advanced with the progress of time. However, research conditions in archives continued to suffer from strict limitations up to the end of the Second World War. The degree to which the leading powers of Europe during the time between

the two wars regarded the interests of State as superior to that of accessibility with respect to their national archives, is obvious from the fact that each of them published an official edition of carefully selected archival sources to the origins of the First World War, whereas the record groups covering the period in question remained closed for any other research.

Restriction or liberalization of access—a crucial problem of present and future archives

The first decisive step towards a far-reaching liberalization of access to archives was a result of the Second World War. The victorious powers had seized and removed all German records—whether kept in archival depositories or in current administrative registries—which might contain any relevant sources on the 'Third Reich'. Subsequently, they launched various wide-range enterprises to list, film and edit the more important German record groups. Faced with the problem of huge masses of records—some completely in disorder or without finding aids—it was decided to apply a wide standard, to gather and arrange the material roughly and to film and publish rather more than less, i.e. by far the major part of the records. The long-term projects were executed according to plan and at an astonishing speed thanks to the efficient organization of work into scientific teams of outstanding specialists. Consequently, the first catalogues, lists and guides produced and the corresponding record groups were placed at the disposal of research workers all over the world only a few years after the end of the war; the 'laying open' of these extraordinary historical sources continued, and followed closely the processing of the records. As a result, about ten years after the war, almost all the German sources, from Bismarck to 1945, were made available to the public without restriction. Secondary publications of various kinds shot up everywhere like mushrooms. As soon as the first hunger for historical disclosures was appeased, however, the drawback of such one-sided publications was resented by many scholars, who began urging their governments to make available also their own archives. These efforts were supported by parliamentary and other groups of public life and the competent authorities slowly gave way, without however renouncing the principle of the restrictive policy of access.

At present, therefore, no world-wide research covering the decisive era up to 1945, based on relevant archival holdings of all parties, is possible. However, things have been set in motion, and it will not be possible to stop or reverse the trend.

In addition to whatever political reasons may prevail, there is another irresistibly strong cause for liberalizing archives policy: the dynamic development of modern reprographic techniques. It is the continuing technical progress in itself which in the long run will overcome all opposition. At a time when the techniques of reproducing archival materials are constantly developing and being simplified, the traditional image of the archivist as the State's treasurer no longer seems to make sense.

Both components, the political and the technical, were at a certain period converging in the United States. The Americans had made by far the greatest efforts to make the seized German records available to the public, both editing and microfilming them; they were also spearheading the development of all kinds of reprographic techniques. American archivists, therefore, took the initiative. In co-operation with the International Council on Archives (ICA) and with generous financial support from the Council on Library Resources, Washington, they convened an Extraordinary Congress on Archives in Washington, D.C., in May 1966. At this international congress, leading archivists from all countries of the world discussed the crucial problems of modern archives. The historical importance of the congress lies in the fact that, through its unanimously adopted

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resolutions, the principle of free access to archives was solemnly proclaimed for the first time on a world-wide level. This event may rightly be called the international ratification of the 'Declaration of the Archival Rights of Man', as set forth in the French Law of 1794. From 1966, the moral obligation to fulfil the resolutions caused a competitive progress which advanced slowly but surely; as soon as one country relaxed its access restrictions, others followed suit.

At the same time, the International Council on Archives, which for some time had tried to harness resources for an enlightened archives programme, set up two working groups to formulate concrete proposals for the implementation of the new principle of liberal access. One group was to deal directly with the subject, the other was to study the use of microfilm as a means of publication of archival material, an indispensable complement in modern archives. The two working groups submitted their reports to the sixth International Congress on Archives which met in Madrid in September 1968.¹ The reports, approved unanimously by its General Assembly, summarized the results of the working groups' investigations and laid down guide-lines for concrete action in both areas.

The Madrid congress adopted thirteen resolutions which were based on the reports of the two working groups and were governed by the following main recommendations:

1. '... that the archival administrations of the various countries undertake a study in depth of the regulations controlling access to documents and propose to the competent authorities the removal of all unjustified restrictions with the object of adapting the system of archival access to the needs of scholarly access.'
2. '... that, in countries where date-limit restrictions are employed, the general closed period [should] not exceed 30 years between origin and access. ...'
3. '... that the principle of equality of treatment between national and foreign searchers be recognized and applied everywhere. [The Congress] condemns any form of discrimination against foreign scholars, and strongly urges that insistence on formal reciprocity between countries in granting access to each other's nationals be abandoned. ...'
4. '... that Directorates of Archives which observe a restrictive microfilming policy toward foreign countries should reform this policy by abandoning all *a priori* formal restrictions and by applying restrictions that they believe must be maintained with flexibility to enable them to respond to the needs of scholarly research.'
5. '... since the microfilm publication of entire series of records and the making of copies of them freely available to scholarly and scientific researchers is the most effective, rapid and economic way to promote greater access to archives, microfilm publication work should be regarded as a normal activity of archival institutions. ...'

It is hoped that, as a result of the Madrid congress, archives administrations all over the world will now set their course and advance to the great goal: free access to archives for research purposes of all kinds.

From the beginning, Unesco has supported all worthy efforts aiming at the gradual elimination of restrictions and the increasing liberalization of access to archives.² In particular, the Organization may see the archivists' persistent fight for that ideal as one example of its very *raison d'être*. [Continued on page 116]

1. 'Liberalization of Access to Archives and of Microfilming Policy', Report presented on behalf of the Working Group on Liberalization by Charles Kecskeméti, Secretary; and 'Report of the Microfilming Committee', presented on its behalf by Albert Leisinger Jr., Secretary.
2. In this connexion, one question should be solved in the near future with Unesco's aid: the situation in which several countries find themselves *vis-à-vis* their former colonies—the former preserving voluminous relevant holdings of records on the history of the latter, which are not wealthy enough to pay for microfilming such documents.

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The Dutch archivist, Dr. F. R. J. Verhoeven, recently appropriately characterized the role of a modern policy of access to archives:¹ '... making the archives of national and historical value available to the people is a moral obligation of any democratic government and for that reason national archives have also been called the ultimate conscience of the government'.

1. In an article on the Archives of Singapore, published in *Perpustakaan*, the journal of the Library Association of Singapore and Malaysia, vol. 2, no. 2, Singapore, October 1967. In 1967, Dr. Verhoeven, as a consultant of Unesco, undertook an exploratory mission to Singapore in order to draw up a plan for the establishment of a national archives and records centre.

EXHIBITIONS, EDUCATIONAL SERVICES, PUBLIC RELATIONS

Archives and school education— possibilities, problems, limits

by Hans-Joachim Behr,
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Archives are institutions which have a cultural mission. They should no longer be used exclusively in the service of scholarly research and public administration. For some time the possibility has been discussed of making the historical sources kept in archives available to schools. To bring the schoolchild into contact with original sources would be in the interest of a modern approach to the teaching of history and the social sciences. The use of archives in education has indeed given rise to some problems. But it has also shown the advantages of increased co-operation between the archive services and schools.

Over the last twenty years work in information and education has been increasingly recognized as a responsibility of archive services. In several countries it is already accepted as on a par with the traditional functions of archive services—the acquisition, processing and evaluation of archives. In a modern society education could one day become one of the specific tasks of archives work, underlining its involvement with society as a whole.

Initiatives in various countries

'Archives and schools' was the theme of the first International Congress on Archives, which was invited to Paris in 1954 by France, the only country at that time which had any extensive experience in this field. The 'Service éducatif' set up by the Archives Nationales in 1950, and since 1952 also by the archives services of the *départements*, provided an exemplary support service for history teaching in the schools (see illustration). In 1969 this 'Service éducatif' was already available in fifty of the ninety-six *départements* and was used in two to six lesson periods per week by an average of 700 pupils, though the figure in some *départements* was as high as 20,000. Under the auspices of the 'Service éducatif' archivists and teachers, who are released from their other duties for this purpose, organize special sessions both in the schools and in the archives services themselves. In new archives buildings special premises are usually provided for this purpose. The 'Service éducatif' arranges in its programme for lessons in which unique original sources are used as teaching aids, and also organizes exhibitions, courses for young historians, film shows followed by discussions and other similar projects. In approximately twenty *départements* the 'Service éducatif' publishes collections of texts and pictures tailor-made for use in schools, prepared jointly by archivists and history teachers. Texts of national and regional historical interest, set in a wider context, are brought to life in these publications. The 'Service éducatif' of the Archives Nationales in Paris also publishes its own series of pocket books. This

co-operation between archive services and schools has been operative in France for two decades.¹

Great attention is also paid to the educational goal of archives in the U.S.S.R. and in the other socialist States. In these countries it is the duty of the archive services as social educators to co-operate with and support the schools, in accordance with the principles of Marxism-Leninism, in their task of training pupils in a conscious spirit of socialist citizenship. Although nothing comparable with the 'Service éducatif' has yet been established, in the German Democratic Republic for example previous forms of co-operation were extended in 1968 when 17- and 18-year-old pupils undertook practical research work in archives under the direction and guidance of archivists. The first accounts of this work and of its results have just been published.²

In other countries, particularly in the United States of America, the Netherlands, Belgium, the United Kingdom and the Federal Republic of Germany, the use of archives for educational purposes is still under discussion and experience in this field is being collated and exchanged.³

In the Federal Republic of Germany the use of archives in education was first discussed from an archives point of view by Franz Herberhold in 1955 in a paper read to the Conference of South German Archivists.⁴ More recently, the public relations function of archives, in the broadest sense of the term, formed one of the main themes of the forty-fifth Congress of German Archivists, held in Kiel in 1969. Speaking on the subject of schools, Hans Booms called for systematic extension of present arrangements to form a 'Service éducatif' on the French model.⁵

Despite two decades of continuing discussion, and notwithstanding all that is being done to integrate museum visits and museum work in education, the educational possibilities of archives remain practically unexploited in all except France and the socialist countries. This is partly the fault of the archivists themselves. They have felt an obligation towards historical research in the first place and then perhaps towards administrative services, but only in very rare cases has there been any awareness of responsibility in the field of education and information within a wider social context. If archives are to have any place in education the first priority is to interest more people in the material which they contain. The occasional exhibition, which it is now almost impossible for an archivist to avoid, is not enough to make teachers and the general public attribute to archives an educational role even approaching in importance that of the museum.

History and social science teaching

New and more interesting opportunities are now presenting themselves in the schools, which could be assisted to exploit them by an archive service as part of its educational function. The priority must be to make use of archival holdings, i.e.

1. Helmut Richter, 'Der "Service éducatif" der französischen Archive', *Der Archivar*, 22nd year (1969), no. 3, col. 261 et seq. Guy Duboscq, 'The educational role of archives', *Unesco bulletin for libraries*, vol. XXIV, no. 4, July-August 1970, p. 205-10.
2. Rolf Hübner and Volker Wahl, 'Zusammenarbeit zwischen Archiv und Schule' [Co-operation between archives and the school], *Archivmitteilungen*, 22. Jg. (1972), no. 5, p. 176 et seq. Eberhard Schetelich, 'Archiv und Schule', *Archivmitteilungen*, 15. Jg. (1965), no. 3, p. 106 et seq.
3. See, for example, *The American archivist*, published by the Society of American Archivists, vol. 30 (1967).
4. Franz Herberhold, 'Der Service éducatif in Frankreich—Seine Möglichkeiten bei uns' [The French 'Service éducatif'—Is a similar system possible here?], *Geschichte in Wissenschaft und Unterricht*, 7. Jg. (1956), p. 280 et seq.
5. Hans Booms, 'Öffentlichkeitsarbeit der Archive—Voraussetzungen und Möglichkeiten' [The public relations role of archives—conditions and prospects], *Der Archivar*, 23. Jg., no. 1, col. 15 et seq.

the original historical sources, in the teaching of history and the social sciences.¹ School history lessons are now seen mainly as an aspect of political education. As such they are generally accepted as being justifiable, indeed necessary. But when we see history lessons as a basis for political awareness and action and their aim as being to acquaint the pupils with the personalities, the way of life and the values of the past in order to encourage comparison with the present and to lead them to a deeper understanding of the life of the individual and of society, then nothing could be more effective than direct contact with the historical sources themselves, with eye-witness accounts handed down from the past. Almost every archive depository, however small, has documents at its disposal which could be useful in a modern approach to history teaching. All that is necessary is to discard the misguided view that only documents concerning matters of national, supra-regional significance are of interest.

Exhibitions

In practice, however, the educational role of archives is presented to the public, and thus to schools, primarily—and often wholly—in the form of thematically limited special exhibitions rather than in terms of the wide range of information they afford on many different subjects. Special exhibitions have since the end of the nineteenth century formed part of the regular programme of most archive services, to the extent of course that the necessary premises are made available. In the Federal Republic of Germany the city archives of Brunswick alone working in conjunction with the municipal library organized 128 exhibitions of varying size and importance between 1950 and 1972. This is exceptional, and most county or municipal archives services have organized only five or six exhibitions over the last ten years. There is, however, usually a so-called permanent exhibition which contains the most prized possessions of the archive service concerned. The success of such exhibitions varies. According to surveys carried out in the northern part of the Federal Republic of Germany by far the best attended by school parties were two large travelling exhibitions organized by the Lower Saxony Archives Administration and entitled *Lower Saxony and Ten Centuries of German History* which from 1961 to 1962 and 1964 to 1966 respectively were shown in all the state archives in the *Land of Lower Saxony*. Both exhibitions attempted to trace development over a period of a thousand years, the territorial scope of the second being also very extensive. There is apparently less interest in exhibitions whose scope is more restricted. Available figures show a sharp decrease over the last ten years in numbers of schoolchildren attending archive exhibitions, and this in spite of intensive publicity campaigns. Wide-ranging themes which draw on the collections of several archive services have of course a particular attraction. However, lack of interest cannot be blamed solely on the subject of the exhibition. Attendance may be encouraged or discouraged by the choice of site. A centrally located archives service with its own exhibition rooms

1. Helmut Dahm, 'Geschichtswissenschaft, Archive und das Bildungsverständnis der Gesellschaft' [History, archives and the educational conception of modern society], *Der Archivar*, 24. Jg. (1971), no. 1, col. 1 et seq. Gerhard Schoebe, 'Geschichte und Gemeinschaftskunde: Das Problem der Modifizierung des Geschichtsstudiums' [History and social sciences: the problem of a new approach to the study of history], *Geschichte in Wissenschaft und Unterricht*, 19. Jg. (1968), p. 189 et seq. Friedrich Weischädel, 'Zur Lage des historisch-politischen Unterrichts an den Gymnasien der Bundesrepublik Deutschland' [The teaching of history and political science in the high schools of the Federal Republic of Germany], *Geschichte in Wissenschaft und Unterricht*, 22. Jg. (1971), p. 2 et seq. Margarete Dörr, 'Zur Reform des Geschichtsunterrichts' [The reform of history teaching], *Geschichte in Wissenschaft und Unterricht*, 23. Jg. (1972), p. 338 et seq. 'Denkschrift der Verbände der Historiker und der Geschichtslærer Deutschlands' [Memorandum by the associations of historians and history teachers of Germany], *Geschichte in Wissenschaft und Unterricht*, 23. Jg. (1972), p. 1 et seq.

obviously has an advantage over buildings on the outskirts of the town. They are more easily accessible and for a teacher time is of the essence. In addition archive exhibitions are in general organized for special occasions unrelated to the school, such as anniversaries, or in regard to political considerations of the day. They are not based on the school syllabus or even prepared with the assistance of history teachers. In fact the opportunity for co-operation in the holding of exhibitions, which has proved its value in France, has until now gone almost unnoticed in most other countries. Only a few municipal archives services have been able, on the basis of personal contacts, and with the teacher's agreement, to organize regular mini-exhibitions of documents for use as visual aids in connexion with the teaching of a particular topic.

All normal archive exhibitions necessarily contain a certain amount of pictorial material which does not come within the scope of archives proper. But they always consist essentially of written documents. This poses a special problem. The fascination of original manuscripts, imperial charters and documents signed by famous historical personalities should not of course be discounted. But such documents from bygone times appeal to a very small number of those who attend archive exhibitions. To a lay person of average education, and particularly to the schoolchild, they are illegible, incomprehensible objects. They can only be given meaning by a guide or an exhibition catalogue. Even then the school-age child, who only acquires a historical background in the course of his education, will often continue to regard them with mere curiosity or at the most aesthetic interest unless he can connect them with some familiar aspect of the school history syllabus.

A really well-presented exhibition on a specific theme can however always achieve one effect, even if it does not concern a subject included in the syllabus. It can arouse interest in history in general. To this extent a visit to an archive exhibition may even be useful for a primary-school class, for teaching at the primary stage is even more firmly based on the use of visual aids. In this context, pictures, historic monuments and museum exhibits could be used in addition to well-chosen archive materials—maps, seals, particularly striking mediaeval charters, illuminated manuscripts, election posters, etc.—without it being necessary to examine the text. At this level, however, a class visit to an archive exhibition cannot be expected to make much impact on the actual lessons. The children could perhaps be asked to relate their impressions of the exhibition in general or to describe an exhibit of their choice.

Work based on original texts will only be possible at secondary level. The content of the teaching given will be more rigidly defined at this stage, and will be designed to contribute towards the pupil's political education. Teachers consider usual archive exhibitions to be too lacking in material which can be related to the present or used as a basis for teaching to justify the time spent in visiting them.

Even if it were to see a welcome increase in attendance by school parties, the traditional type of archive exhibition still would not involve any co-operation between archives and the school. It is at the most a basis for such co-operation. Effective co-operation involves more than accepting what is offered and possibly making it the basis for a lesson. History teachers and their pupils must submit their own specific questions and desiderata to the archive service. If this has happened too seldom in the past it is no doubt less a sign of lack of interest than of ignorance of the potential offered by archive materials. Often there is not even any clear conception of the purpose and significance of archive services. The first duty of the archive service must therefore be to wage an intensive public relations campaign intended to inform schools of the work and importance of archive services, and to suggest specific ways in which they could be used to support the school's work. Such a campaign could be organized in many different ways: lectures and induction courses, guided tours for teachers, classes and teachers in training, self-explanatory events in the form of exhibitions with accompanying

catalogues, distribution of leaflets to staff and pupils and the delivery to schools of duplicated inventories of the material available in archives. All these methods have been used by individual archivists in the Federal Republic of Germany in attempts to increase school use of archives. It might also be useful to produce a small 'guide to archives' specially intended for school use, which would briefly describe the holdings available, finding aids and rules of access, and give some technical hints and advice to the would-be user.

While the traditional type of archive exhibition, in which the various treasures and documents shown illustrate a particular theme, should of course be continued, there are in addition many other possibilities for closer co-operation with schools in the teaching of history and the social sciences. Small *ad hoc* exhibitions on topics included in the school syllabus involve relatively little effort. After lessons have been given on a particular topic archivists and teachers could together assemble relevant material from the archives, which could then be presented to the children on the spot. Of course this could only be done in the town where the archives are located; for it is at the moment unthinkable that archivists should visit the different schools in their area with their documents. They could, however, produce colour slides and other reproductions of archive material for use as teaching aids, either to be presented by the teacher or for group use. In this way classes could be reached outside the town. Modern office copying equipment such as is now available in most archive services makes it possible to produce any amount of copies relatively cheaply and quickly.

School work on source materials—case studies

For the past twenty years the concept of learning based on 'case studies' has been widely accepted in educational circles.¹ It is hoped that this approach will make it possible to resist the pressures imposed on history teaching by the ever-increasing amount of material to be covered. This method, which encourages detailed study of particular examples alongside the formal handing down of a basic stock of background knowledge, offers opportunities for co-operation between archives and the school. It is no longer disputed that at the secondary level the study and interpretation of original sources is the most appropriate method of arousing the student's interest. The use of original sources is indeed quite widely accepted in history teaching today. It is no longer restricted to *Gymnasien* or high schools but has spread to other types of secondary school as well.²

Study of selected sources is the most direct form of contact with the past. Moreover it encourages a healthy scepticism towards historical accounts, including those to be found in history textbooks which might otherwise appear quite unequivocal, and thus contributes towards the development of a critical approach. However the distinction between the study of history at school and at university, where students adopt their own working methods and set their own goals, remains quite clear-cut. The use of original sources in schools must be limited. A modern approach to the teaching of history will nevertheless always ensure that the pupil is, if only by reference, familiarized with the nature of the historian's work, in order to acquaint him with the problems of historical research and interpretation. All the doubts and differences of interpretation which make complete objectivity in history so difficult to achieve can be brought out in group discussion

1. Konrad Bartel, 'Das Exemplarische im Geschichtsunterricht' [The 'case study' approach in history teaching], *Geschichte in Wissenschaft und Unterricht*, 18. Jg. (1967), p. 217 et seq.
2. Gisela Wagner, 'Quellen und Quelleninterpretation im Unterricht der Geschichte und Gesellschaftskunde' [Sources and their interpretation in the teaching of history and the social sciences], *Geschichte in Wissenschaft und Unterricht*, 20 Jg. (1969), p. 160 et seq.

of source material in the secondary school. This is as true of central archive material as of sources from regional and local archives, which of course form the major part of a nation's archive resources.

Types of document and their use

The more vivid the source material, the closer it brings the pupil to grips with historical events, the greater the interest it will arouse. For the purposes of the modern 'case study' approach to history teaching, it must also of course serve to illustrate a wider context. Local and regional sources are particularly suitable in this connexion. Such printed collections of source material and educational working kits as are available from educational publishers are based in the main on material which has already been published. The point of personal contact provided by local and regional sources is not generally to be found in such material. This is where the archive service can step in, offering the teacher new material which will assist him in his efforts to arouse the pupil's interest and feeling of participation by bringing historical material to life. Even small archive services have an adequate supply of illustrative material for the purposes of a modern approach to the teaching of history and the social sciences. For example tax registers and lists can be used as a basis for determining social structures. Light can be cast on the major revolutions of more recent times and on their origins by the private correspondence of politicians and by petitions and pamphlets. Documents on industrial unrest and strikes in the nineteenth century can be used as an introduction to the history of workers' movements. Reports of the proceedings of official bodies give new insights into the political and economic crises of the 1920s. Newspapers illustrate the regimentation of the press which occurs under totalitarian regimes. It should in particular always be possible to find sources relevant to the period beginning in 1917, set for study in the last years of secondary school, which on the basis of a single phenomenon will throw light on the general background and are thus suitable for group study and evaluation as part of the history course. Moreover the actual reading of this material should not raise any problems as the most important material of this period is generally typewritten, whereas transcriptions and sometimes even translations are needed before older documents can be used by schoolchildren, and the much of the peculiar fascination of the original is lost in the process.

It would certainly be demanding too much of an archive service to expect it to prepare documentation for history and social science lessons single-handed. At this stage archivists can only offer suggestions and advice. Decisions as to the documents most likely to achieve the desired educational end in a particular case can in the last analysis be made only by the teacher. It would however be advisable for individual documents that have been selected for small-scale exhibitions relating to the syllabus, for the purposes of interpretation by the teacher or for examination by the whole class to be specially registered in the archives under the topic concerned. The time spent in the selection would thus benefit others and a special index of documents suitable for use in connexion with a wide range of topics would gradually be built up. This could then be duplicated and made available to schools. The effectiveness of such a list as publicity cannot be stressed too highly. If necessary the archives service could build up a collection of reproductions, and copies of particularly popular documents could be available on demand. At a later stage it might in certain instances be possible to publish collections of source material for school use on the French model. But this will of course be less the responsibility of individual archives depositories than of municipal or regional archive administrations.

Individual studies and group projects for higher grades

Up to now we have only considered visits to archive exhibitions and the use of a limited number of specially selected documents and visual aids for teaching purposes. In both cases the teacher acts as intermediary and the archive material serves primarily to motivate the pupil. Individual work in archives is a rather different matter. It would not, of course, be advisable for primary-school classes to visit archive services to carry out specific projects, but there is no reason why classes of younger secondary-school pupils should not benefit from a visit to a well-thought-out archive exhibition relating to their syllabus. Isolated documents, of an increasing order of difficulty, can be handled by pupils of whatever grade. Individual work with the raw materials of history however calls for such highly developed powers of abstract thought and deduction—quite apart from the other difficulties it presents—that it will not be possible until the higher levels of secondary school education, with pupils of 17 to 19 years of age.

The reform of history teaching aims to introduce a wider variety of methods of work in the higher levels of secondary-school education than are at present used, gradually allowing the pupil more independence and enabling him 'to work on specific topics on the basis of original documents and, at the same time, with reference to works of criticism and contemporary political problems', the 'case study' approach continuing to serve as a guiding principle.¹ These ideas have already been taken over in part into school syllabuses in the Federal Republic of Germany,² and this has resulted in the so-called 'group projects' or 'grade projects' recently enjoying increasing popularity. The topics chosen for these projects sometimes involve the use of archives, and in recent years most archive services have at some time or other had schoolchildren working in them on such projects, in the field of history or the social sciences. There are always problems in this connexion when the teacher, as sometimes happens, has himself no clear conception of archives work and its basic requirements and therefore underestimates the time or capabilities which his pupils will need. It should be quite obvious that any large-scale involvement of schoolchildren in archives work calls for preliminary consultation between the teacher and the archivist on the practical possibilities and technical problems involved in carrying out the project.

Genuinely independent work with manuscripts can only be very limited, even for the older secondary-school pupil. In most cases help will be needed either from the teacher or from the archivist. The same is true of the so-called group projects, for example as organized in the state archives of Osnabrück in the winter of 1972-73 with a combined class of pupils in the last two years of secondary-school education. The aim of this project was to use the source material of a limited area to prepare a case study on the evolution of the totalitarian Nazi State. After a general introduction to archives work the pupils split into groups of three or four, each of which dealt with one of the six topics chosen jointly by the children, their teachers and the archivist: elections and political parties up to 1933, the growth of the National Socialist Party, the economic situation from 1929 to 1934, the trend to *Gleichschaltung* (regimentation) after 1933, the Church and the National Socialist Party, and total war. The sources used were newspapers and magazines, official records and private papers. Use was also made of the archive service's library and of the library of the Osnabrück Historical Association on the same premises. The results were not entirely satisfactory, particularly as regards the achievement of practical educational goals, although in

1. Denkschrift der Verbände der Historiker und der Geschichtslehrer Deutschlands [Memorandum by the associations of historians and history teachers of Germany], op. cit.

2. Richtlinien für den Unterricht an den Gymnasien des Landes Niedersachsen [Guidelines for education in the high schools of Lower Saxony], Hannover, Ministry of Education of Lower Saxony, 1970.

some cases the work done was almost of university standard. The findings of other similar experiments were confirmed, in that certain educational goals connected with the development of connative, cognitive and affective potential are achieved more readily than is possible under school conditions. The fascination of the unfamiliar and the need to find the relevant material oneself provide motivation. But this is also the point at which difficulties arise. Schoolchildren are often daunted by the sheer amount of the material available. They lose their way in this mass of information, failing to distinguish the wood from the trees and allowing themselves to become bogged down by side issues, and consequently become even more discouraged. The task of converting their notes on the sources into a coherent account also proves very difficult for them. But as progress continues the technical difficulties are in the main soon overcome. If group work with real archives—not newspapers or other printed material—is to be successful, the teacher must prepare the ground very thoroughly, selecting the relevant documents himself beforehand, and giving substantial help with the preparatory work. Despite its many difficulties and problems archives work offers undeniable advantages from an educational point of view. It is not only a useful adjunct to the 'case study' approach. It makes the teaching less rigid, improves teacher-pupil relationships and develops the pupil's interest in history, encouraging an independent and critical approach.¹

Use of archives libraries

Archives services usually house quite comprehensive libraries for the use of staff, in addition to the archival holdings themselves, and there is often an equally large collection of books belonging to the local historical association. These stocks together constitute in many cases the principal historical library in the area. They can assist the teacher in planning courses and in the preparation of individual lessons and can also be used by the pupil to prepare his homework. In addition, many archive services support a local or regional historical association. Frequently there exist personal links between those in charge of the archive service and those in charge of the historical association, and the association's meetings are held on the archive centre's premises. The lectures and publications of such associations also have a contribution to make to the educational process. Above all they can associate teaching staff more closely with archives; for co-operation between archives and the school is primarily co-operation with the teachers.

Co-operation between archives and the school

Of course the requirements of modern syllabuses do not exactly encourage history teachers to make the use of archival sources an integral part of their scheme of work, but there are nevertheless adequate possibilities for co-operation between archives and the school. If these are not used as much as they might be, the fault does not lie in the syllabuses or in a lack of interest on the part of the teachers so much as in a general lack of information regarding the educational possibilities of archives. Efforts should be made to remedy this state of affairs, as co-operation between the two would be in the interests of both archives and schools. Archives would acquire a more positive public image and schoolchildren would

[Continued on page 145]

1. Burchard Scheper, *Erfahrung mit Archivarbeit im Gemeinschaftskundeunterricht einer Gy 19* [Experiences with archives work in social science studies with the senior grade in a high school], *Arbeit zur Pädagogischen Prüfung für das Lehramt an Gymnasien* (thesis for high-school teacher's diploma), 1965. (Typewritten.)

encounter the past in authentic documents which would arouse their interest and give them food for thought.

Co-operation on the French scale, however, raises organizational problems which would be best dealt with at the level of the archives administration and the Ministry of Education or educational authority. Unless action is taken at this level co-operation becomes far more difficult to achieve. But even individual archives services working at local or regional level have opportunities to publicize their work and make contacts. These opportunities should be exploited to the full with the aim of acquainting teachers with the archive service and making them aware of the practical value of archive resources in a modern approach to history and social science teaching. Experience acquired in this field should always be passed on to a wider circle. Serious and purposeful efforts in this direction could lead, as now in France so eventually in other countries, to the use of archives for educational purposes becoming, at least with older pupils, a universally accepted part of school life.

THE POPULAR USE OF ARCHIVES

by Mrs. Claire Berche *

Archivists are by no means unanimous in their views on the importance of the fairly recently introduced idea that some of the work of the Archives should be aimed at a wider public. Controversy arises from the efforts made in this direction, which have two objectives : the first is to help to make cultural resources available to everybody, and the second is to give publicity to archives.

Some people become very enthusiastic about educating the lay public and increasing their intellectual awareness, and they try to explain more clearly the role of archives by giving more information about them. Others question the value of reaching out to a broader section of the public than that which now uses the reading rooms. Attached as they are to their scholarly and administrative roles, which are the more traditional and intellectually satisfying aspects of their vocation, they tend to look down on attempts to popularise and promote archives.

Is it Utopian or realistic, and is it a challenge or an opportunity for development, if, at a time when staff is in short supply and storage costs are rising fast, we devote time and invest substantial funds in educational projects aimed at attracting a wider public by presenting an attractive brand image for this little-known source of wealth, with its austere reputation ?

No claim is made that this paper gives an exhaustive list of the many experiments which have been conducted in this field throughout the world ; we shall do no more than try to draw attention to some of them, and, after explaining what they have achieved, explore some of the practical problems which arise ¹.

* Text of a preliminary report distributed before the Congress.

¹ The bibliography on this subject has been given in *Bibliographie internationale fondamentale d'archivistique* (Archivum, XXV, 1978, pp.99-101, 109-111). In particular see the article by J.-P. Babelon, *Les relations des archives avec le grand public*, in *Gazette des Archives*, 76, 1972, pp.9-22.

I. ARCHIVES AND THE GENERAL PUBLIC : DEVELOPMENT AND IMPACT

Archives have gradually ceased to be the prerogative of an erudite minority and are now seen as a means of cultural expression. They have evolved from passivity, a phase in which documents were stored and made available only to a privileged few, to a more active role as a cultural medium. The general public is now beginning to get its first small glimpses of the resources available. However, a great deal remains to be done if the wealth of a little-known part of the national heritage of a country is to be made familiar to everyone.

a) GRADUAL STEPS TOWARDS THE PROMOTION OF ARCHIVES

Efforts to popularise culture began well before our time. We must go back to the second half of the nineteenth century to find the first signs of archives being opened to a non-scholarly public, with the establishment of archive museums by the *Archives nationales* in Paris in 1867, by the Public Record Office in London, in Vienna, and in about 1935 in Washington. In the post-Romantic historical movement, the idea underlying the creation of these museums was that archives could be used to teach history and to provide an initiation in palaeography. The venture was also a response to the expectations not only of 'an elite audience for whom the investigative use of documents is more specifically reserved' but also 'a throng of intelligent people thirsting for knowledge about everything, who wish to devote their hours of leisure to self-instruction on subjects about which they know nothing'. However fruitful this attempt was to be, it was still the exception; and it was not until the 1950s that concern to create links between archives and the world of education led to the beginning of a new stage of development.

These issues have been topical since 1954 when the first Round Table on Archives took as its theme 'Archives and Education' ¹. The Conference discussed ways in which archivists could cooperate in teacher training, set up educational departments, organise school visits and awaken an interest in history. New experiments were reported: the presentation in the Archives building of original texts with commentary to a wide spectrum of the public, radio talks, publications, collections of texts and facsimiles designed to be used by the public at large, and cooperation in the promotion of cultural tourism and the making of films.

Since then the fifteenth International Conference of the Round Table on Archives on the broader theme of 'Archives and Public

¹ *Une table ronde utile à l'histoire*, Paris, Direction des Archives de France, 1958.

Relations' has provided an opportunity to record the great expansion in such activities, especially in archive exhibitions and educational services ¹.

b) CONTACT WHICH BENEFITS THE LAYMAN

How can we define the 'general public' ? In practical terms it means all those who are not regular users of the reading rooms. The term includes the civil service, elected local representatives and the educated classes. It also embraces all those who do not as a rule take part in cultural events but have proved to be attracted by the evocative power of clearly presented documents which are relevant to current affairs.

This general public is currently displaying a growing taste for history ; some might say that it is growing as the teaching of history in schools declines. The success of television programmes on historical subjects, the popularity of books and magazines written by eminent scholars who can make their subjects accessible to all, the sale of books in supermarkets, the growth of local history societies, and the expansion of genealogy : all these are the outward signs of - to use an expression which has become a cliché - the 'search for one's roots' in a changing civilisation. Given this general interest, why should we not try to give the public the material with which it can extend its knowledge and come to know our resources ?

How does the general public view archives ? Each of us probably can tell amusing stories about the image which our activities present.

This lack of understanding is not confined to those with little education. How many administrators and educated people still confuse us with librarians ; and how many of them have any idea of the resources we could put at their disposal ?

Yet, 'in the context of contemporary cultural efforts, archives must help to form judgments. Archives can explain the meaning of events by placing them in the psychological context of the periods in which they have occurred. Archives shed light on those men, great and small, famous and obscure, who have precipitated events or borne the brunt of them. Archives can help us to understand the aims and objectives of our national, regional and local institutions. Through these educational activities archives bring to life the history of yesterday and today' ².

¹ *Actes de la 15ème Conférence Internationale de la Table Ronde des Archives* (Ottawa, 1974), Paris, *Archives de Paris*, 1977.

² J.-P. Babelon, *loc. cit.*

In short, our resources must be used to help the public 'deepen its knowledge of man in his historical perspective, in his attitudes of mind, and in his social environment' ¹.

c) ARCHIVES AS AN AID TO NATIONAL, REGIONAL AND ETHNIC AWARENESS

Representatives of developing countries have stressed forcibly and frequently that there is no doubt that archival activities aimed at the general public help to affirm the national identity of young nations. Through written and oral sources they can acquire an understanding of their history, legends, customs and traditions. In this respect our role in preserving archives is unique.

In other countries also archives can make a far from negligible contribution to the development of national awareness by presenting to the public the history of a nation's struggle for independence. In many countries the Archives therefore organise various events to celebrate important anniversaries.

If the public wishes to know more about regional customs and history, projects organised with the help of archivists at the local level (conservation of the architectural heritage, preservation of traditions) will provide the resources needed to appreciate and protect local culture and tradition. Finally, written and oral archives provide a basic source from which ethnic, religious and linguistic minorities can gain an insight into their own history and culture. Is this not the reason which has led certain political, professional and feminist movements to create their own archives ?

II. CURRENT TRENDS AND NEW EXPERIMENTS

While it is possible to make an intellectual distinction between promotion and publicity, which are the two aspects of relations between the Archives and the public, in practical terms they merge into one.

The characteristic feature of recent experiments seems to be the improvement of what have now become the traditional methods : exhibitions, links with the world of education and publications, combined with an attempt to reach out to an even wider public, particularly by the use of television and audio-visual aids.

¹ *Idem.*

a) ARCHIVE MUSEUMS

Archive museums have been trying to bring themselves up to date (as in the case of the Museum of the History of France at the *Archives nationales* in Paris). They are using new museum techniques, such as displaying exhibits in glass showcases or under plexiglass, presenting the descriptions of exhibits in a clear manner, giving transcriptions of the documents and placing them in their historical and geographical context. They also make use of audio-visual methods to back up the exhibition, for example with recorded commentaries and the projection of slides.

However, this form of promotion, which is very expensive and makes heavy demands on both funds and equipment, is developing very slowly, and has been less successful than the presentation of temporary exhibitions.

b) EXHIBITIONS

The exhibition is by far the most frequently used means of presenting culture in a popular way ; and it is generally considered to be the most effective. At the same time, an exhibition takes up a substantial amount of time and money. An exhibition may take a number of different forms, from a major event to simple loans of documents.

1. Large exhibitions with many exhibits organised by the Archives themselves, are usually held in their own building. They are carefully scheduled in advance and take many months to prepare. Each relates to a general theme, which is linked as far as possible to local and human aspects of the subject which are most likely to interest the visitor.

In preparing such exhibitions, cooperation may be sought from a sector of the public which would not necessarily be concerned with archives. It is only obvious that when an exhibition on industrial history is being organised, the Archives will call on industrialists for help, or will consult the family of a well-known person when the subject is a leading national or local personality. This type of exhibition provides an opportunity to press further with research. With local exhibitions it might be beneficial to arouse interest among students and schoolchildren in the search for some kinds of material.

Ideas on the way a subject should be treated are also changing. A few years ago archivists were in favour of using only documents, but today material of other kinds is commonly included in an exhibition. It is accepted that a reasonable balance should be maintained in presenting a theme. Suitable proportions for different materials cannot be laid down, but, depending on the subject and on local resources, it could be said that exhibits tend to consist of 50% iconographic, cartographic, statistical and graphic documents, 25% manuscripts and 25% artefacts, canvases and other objects.

In this way a theme can be treated in a manner which is more comprehensible, more attractive and more visually appealing. There can be no argument as to the popularity of presenting material of such variety, particularly in developing countries where by this means it is easier to understand the subject. If the theme lends itself to such treatment, the projection in a nearby room of an audio-visual display on the same theme or of contemporary films backs up the exhibition in a lively way.

Few of the many exhibitions which are held have a catalogue. A catalogue may be a very comprehensive printed presentation reviewing current knowledge on the subject, or it may be a quickly and cheaply produced leaflet. Both kinds, expensive and cheap, selling at a high price or distributed to visitors free of charge, exist side by side ; but there is a clear trend towards the latter.

It would be helpful if, when deciding on the dates for the exhibition, careful thought were given to the opening hours. If possible, exhibitions should be kept open on some evenings and on non-working days.

It would be very beneficial for part of the exhibition to be sent on tour. This need not put documents at risk, for it is easy to loan photocopies, which will often be as effective as the originals.

Many bodies might well be prepared to provide space for display board or even showcases for limited periods : commercial and agricultural undertakings in Rumania and Hungary, factories in Bulgaria, theatre foyers, banks and town halls in Hesse, and state enterprises, cinemas and villages in the USSR, to give only a few examples. If local organisers are urged to seek out and display documents and objects belonging to families in the town or region (obviously linked with the theme of the exhibition), local interest will be aroused and the public will become more aware of the exhibition. It is by such means that the Archives are able to reach more distant communities and thereby justify the efforts they have made.

2. Small exhibitions for publicity purposes. It is becoming a common practice to display a few reproductions of outstanding documents in places frequented by some people who would not normally go specially to see an exhibition : in Canada, for example, in shopping centres and airports, in the Metro in Paris, Lyons and Marseilles, and in trade exhibitions.

3. Display of documents at the Archives. This may be a small display of a few documents from the local collection in the entrance to the Archives. It may be associated with a topical subject, an anniversary or a theme in which interest has been aroused by a recently published book.

4. Loans to exhibitions organised by other bodies. Archivists are now questioning the value of spending much time and money

in organising exhibitions which are poorly attended. Some are even more reluctant when they are aware of the many exhibitions aimed at the public themes which are organised by various other bodies (art centres, museums, libraries, associations, local authorities, etc.) and supported by material and promotional resources sometimes far in excess of those available to the Archives.

This has led to the current trend, in parallel to, or instead of, putting on our own exhibitions, of lending original documents or photographic copies to exhibitions which are being organised by other bodies. It costs no money and little research time to show archives to the public in exhibitions presented by others ; and it also helps to give publicity to archival resources. This is an opportunity which should be taken ; and it has already proved successful in Belgium and Czechoslovakia.

c) EDUCATIONAL ACTIVITIES

All countries see it as essential to have some cooperation between the Archives and teachers, although in some countries this cooperation has been more institutionalised than in others. (Visits to the Archives were organised in 43 countries in 1974, lectures on Archive or school premises in Bulgaria, educational publications in the United States, Poland and the USSR, audio-visual presentations in Canada, slides and microfiches in the Bahamas, and educational departments in France.)

In the light of the experience of several countries the main lines of development in the educational use of archives are as follows :

---The demand from teachers for original documents is increasing substantially at the present time. In many countries, particularly Malaysia and Hungary, education ministers encourage a good relationship between teachers and the Archives.

---There can be no substitute for collaboration between teachers and archivists in preparing school work. It should take the form of a joint effort by the archivist and the teacher in charge of the educational department, if the latter exists. In addition, however, there should be cooperation at the equally important level of the class teacher, who should help in the preparation of the visit or exercise. Once a document has been selected and found by the archivist, its impact on the pupil will mainly depend on the way it is presented to him, and on any references to it that the teacher makes thereafter ; in short, its value will depend on the way the document is used in the context of the course as a whole.

---Pupils may, of course, be brought into contact with the originals during a visit to the Archives, but there may well be other ways of presenting the documents in the classroom, for exam-

ple by working with duplicates or with carefully protected or not too valuable originals.

---When schoolchildren live too far from the Archives they can work with documents made available by reproductive techniques, which are now much improved. These could be supplied as part of travelling exhibitions, as facsimile teaching packs or as slide displays.

d) PUBLICATIONS

The desire to make it easier for the uninitiated to obtain access to archives has led to the production of illustrated publications of a less academic nature, and the design of more publications along the lines of 'guides' to the archives in a given repository or to some categories of documents.

Hungary, Spain and Israel, for example, have published national archive guides ¹.

An Italian venture illustrates this trend in an interesting way : the publication of *Itinerari archivistici italiani* will arouse public interest by summarizing the sources available to readers in each province from the various repositories and giving information in an attractive, well-illustrated format. Similarly, the series of guides to the *Archives départementales* of France ² helps to give access to a wide public, even though it is more orientated towards historical research.

There is also a trend towards publishing means of reference which are a little less elaborate and which can be completed more quickly and produced more simply (perhaps using offset typography rather than conventional printing), and which are therefore less expensive and more accessible to those who need them.

Reproductions of different kinds of documents can be made available in many forms :

---Publication of texts (in the Ivory Coast, documents are published, unedited and without commentary, on historical and ethnographic surveys, and are distributed through bookshops in paperback form ; and this is undertaken under the auspices of the Archives).

¹ *Guía de los Archivos Estatales Españoles*, Madrid, 1977, 142p. ; *Guide to the Archives of Hungary*, ed. Peter Halezas, Budapest : Magyar Országos Levéltár, 1979, 229p. ; *Guide to the Archives in Israel*, Jerusalem, 1973, 257p.

² See M. Duchein, *Les guides d'archives*, *Archives et Bibliothèques de Belgique*, 47, 1976, pp.117-132.

---Facsimiles of manuscripts (United States, Czechoslovakia) and cartographic material (Hungary).

---The sale of slides (Brazil, Canada, France and the German Democratic Republic) and microfiches.

---The sale of postcard reproductions of documents of outstanding interest (Great Britain), duplicates of seals (the German Democratic Republic, Spain, France and Great Britain) and medals (United States).

Although these methods are widely used by museums, they are by no means universally applied in Archives, mainly owing to their very high cost.

One last noteworthy venture in the field of publications is the growing number of popular articles being written on archives in the local press and in historical magazines, and the publication of articles on historical subjects which extensively use local sources (USSR and Ivory Coast).

e) GENERAL PUBLICITY

Many countries (Canada, France and USSR) have managed to arrange radio or television programmes which use archive material. It is becoming an increasingly common practice for archivists to be called on for research in original sources or to take part in television discussions, in the course of which they can describe their research work and present selected originals. These two activities, which make relatively few demands on physical facilities, are likely to make a marked impact on the public at large.

Another activity which has aroused great interest in those countries where they have been held are the 'open days' or 'archive weeks'. Poland first took this step in 1957 and it now organises a campaign every five years in order to make the public more familiar with the role of the archives and to establish closer contacts with government, the universities, the schools and the arts ¹. It is a venture which has been extended to a world-wide level by Unesco's organisation of 'Archives Year'.

f) THE SEARCH FOR NEW SECTORS OF THE PUBLIC

While genealogists are frequent users of archives, and members of historical societies are very familiar with the existence of archive repositories, other categories of amateur researchers may also be interested in our resources.

¹ F. Biljan, *La Semaine des Archives, Mélanges offerts par ses collègues étrangers à Charles Braibant*, Brussels, *Archives générales du Royaume*, 1959, O. 51-56.

With this in mind, links should be developed with those bodies which cater for the older members of the public. Retired people are often more prepared to take part in cultural activities, to attend lectures and to conduct short research projects. They may have family documents in their attics or know where they can be found ; and in this way they have proved to be valuable to the archivist. Some may also be able to record oral evidence about the past.

It sometimes proves very valuable locally to make use of exhibitions, talks and audio-visual displays, to make contact with members of village communities, young people's hostels and photographic clubs who may in different ways be interested in the past of their own town or village. Finally, company employees and members of neighbourhood associations are most likely to be interested in the presentation of local documents and talks.

III. PRACTICAL ASPECTS OF THESE ACTIVITIES

The expansion of the cultural role of archives obviously needs facilities such as staff, money and equipment ; but it also implies that all the staff of the Archives must be prepared from time to time to reconsider its ideas, to keep abreast of changing times and public taste, to become initiated into new techniques which are often strange and even distasteful, and to engage in active cooperation with all other bodies which are interested in cultural matters.

a) PUBLIC RELATIONS

Although some may feel that the manner in which the public is received is only of secondary importance, it has proved to be most important when the uninitiated make their first visit to the Archives. A welcoming exhibition room with equipment of modern, reliable and sturdy design (arrays of display boards, showcases and perhaps models), the availability of light and compact but strong boards for travelling exhibitions, provision for a corner of the exhibition room to be set aside for children (as in the case of libraries) : all these are far from negligible advantages, although so far they are not very common. It is also important to have recording and audio-visual equipment. Although these are all expensive, they make it possible for the Archives itself to put on exhibitions which would have been quite beyond their means if private companies had been asked to do the work.

It is essential for the Archives to have a photographic laboratory which can take and develop any photographs. The many kinds of display methods (general artwork, methods used to display docu-

ments, headings) will be looked at very critically by the public ; and they will be better designed by a member of the professional staff and carried out by a member of the staff who has a gift for drawing and has had some training in museum techniques.

The design and implementation of safety measures to protect documents and artifacts presents a difficult problem now that open access is so fashionable. Modern closed-circuit television surveillance may be the answer to the problem of theft in the future. Documents must be made secure when they are being presented to school-children ; when they are shown originals there must be close supervision, otherwise they should be given only duplicates or facsimiles. These are problems which are still being debated.

An exhibition for the general public must be presented in an attractive way ; and once the theme has been selected, its treatment must be based on a thorough knowledge of the subject, and special techniques and care should be deployed. The outline plan should be clear, and the captions should be brief and simple ; no more information should be given than is essential to an understanding and knowledge of the subject. If the archivist uses specialists in those fields in which he has no direct experience, he will be able to tackle the subject with greater precision, and this will make it possible for the public to appreciate it more.

This is not the occasion to measure the amount of effort which has to go into the preparation of an exhibition or a publication, or the funds which will be needed ; but the point should be made that the available investment should be exploited fully. An archivist by nature is not very familiar with advertising techniques, but he must become familiar with publicity methods and decide to devote some of the funds available for the exhibition to this purpose (printing posters and, in some cases, expensive advertising). On this subject we should point out the relevance of the techniques of public relations : special attention to dealing with the written and spoken media, the wording of press releases, the design and distribution of posters, which should be put up in as many places as possible (schools, town halls, museums, etc.) and the publication of pamphlets which explain the theme of the exhibition.

The exhibition should be taken on tour, in the form of photographic copies, to well-populated areas farther away from the Archives ; but to do this will require good contacts with local authorities. The workload on staff in the Archives in arranging such tours, however, is not substantial, consisting only of planning and checking the loans ; but such travelling exhibitions help to increase the impact of the event. Whether or not the exhibition will succeed locally will of course depend on the degree of interest displayed by the host body and the amount of publicity given to the exhibition.

Finally, outside the opening hours of the exhibition it could be useful for several members of the staff of the Archives to carry out public relations exercises which do not come within the scope

of normal services to readers : giving guided tours of the repository, discussions with visitors who might be in a position to lend or donate documents, travelling around giving audio-visual shows.

b) SERVICE TO READERS ¹

When a member of the public comes to the Archives to see an exhibition in which he has an interest he will probably feel diffident about going into the reading room, as he may believe that it is reserved for the privileged few and that it is not easy to get access. Some steps can be taken to make it easier for the public to get access to documents without being demagogic and seeming to give the impression that old documents can be put into the hands of everybody.

The effect of staff shortages is that the opening hours of the reading rooms are a deterrent to those who work regular hours. Few reading rooms are open during the evening (for example, from 6 to 8 p.m.), and service is usually restricted on Saturdays. The practice in some countries of closing down for an annual holiday reduces still more the opportunities for consulting documents. It is no simple matter to adapt the working hours of the Archives to the needs of the public without affecting the rights of the staff. The system adopted by the Public Archives of Canada, with its document lockers which enable readers to use documents 24 hours a day, is very attractive, but it could not be universally applied.

Many practical problems arise when the detailed arrangements for archive work by amateurs are considered. It is difficult to impose limits on the help that could be given with bibliography, research and palaeography, and especially the enquiries by correspondence, above all from genealogists. We seem to be moving in two directions : towards giving greater collective help to amateurs on the one hand, and, on the other, restricting the amount of assistance given for requests of a demanding nature. General assistance is given by certain publications which have recently appeared and which give guidance to amateur readers, such as a handbook on the methodology of local history in Hungary, and *La pratique des documents anciens* produced in France by the Archives départementales of Haute-Savoie ². Some Archives hold introductory courses on palaeography in the evenings or on Saturdays (Netherlands, France and Hungary) for the benefit of amateurs. Such training courses should aim at encouraging novice research workers to broaden their fields of research and, in the case of genealogists for example, to guide them towards other kinds of history, demography or social history. For requests for assistance in research

¹ This paper discusses only the specific subject of catering for those who are not scholars or academics.

² R. Devos, R. Gabion, J.-Y. Mariotte, J. Nicolas, C. Abry, *La pratique des documents anciens*, Annecy, 1978, 335p.

of a genealogical or personal kind, the archivist can try to reduce the pressure in several ways : by passing on those making enquiries to people who will carry out the research for payment ; by giving genealogists the opportunity of consulting records of births, marriages and deaths on microfilm in another Archives, etc.

Some countries (Sweden, Canada and the Netherlands in particular) make a great effort to help genealogists, who make up a high proportion of the number of readers and should not be neglected. For example, they provide inventories or card indexes of civil registers, sell microfilm copies, provide special reading rooms, provide advice from staff, and a department for genealogical research using microfiche.

As the archives become used by a wider sector of the public, careful thought must be given to the problem of protecting documents which are in most demand. Certain categories of documents (especially records of births, marriages and deaths) can be put on microfilm or microfiche. Collections can be made of facsimiles of outstanding documents which are in frequent demand ; and anti-theft measures must be intensified.

When members of the public who are not scholars first come into contact with archives, they tend to become enthusiastic about their discoveries and often want to take home with them reproductions of documents they have consulted. An academic research worker who is accustomed to using archives is more likely in most cases to make notes ; and in the long run it is easier to please him. The demand for copying facilities inevitably causes certain problems for the Archives : the quality of photocopying equipment which does not always give satisfactory reproductions, especially in the case of iconographic material, and which can cause damage to books and registers ; the problem of imposing too heavy a load on the photographic laboratory and sometimes the lack of equipment to meet public demand (laboratories have to do internal work for the Archives as well as executing orders from government departments and the public. These are two tasks which are often difficult to reconcile, and it is impossible for us to have the equipment to satisfy such a technically wide-ranging and sophisticated demand).

When an archivist has to sell a guide or a reproduction of a photograph or slides, he has to overcome legal, administrative and financial difficulties which all add to the burden of work on someone who is neither a legal expert nor an accountant by training.

c) PRIORITIES IN CREATING AND ARRANGING ARCHIVES

Not all archives can be made accessible to the public in the early stages. With a view to opening up archives, would it not be opportune to collect some documents which could easily be made available to all and to arrange them in some order of priority ?

When local public libraries do not have large collections of historical publications, it can be very helpful to have a library which is kept up to date with well-chosen books on general and local history.

Iconographic collections (prints, engravings, photographs, post-cards and posters) and cartographic material are among the documents in most demand among the non-academic public, whatever is their standard of education. No special skill is needed in consulting them, and they are pleasing and evocative. The public - adult or of school age - can use them as a source for interesting research work (the changing landscape, everyday life, etc.). Such documents also provide an important source of potential material for exhibition. The acquisition of material of this kind is essential if the Archives are to welcome a wider public, even though they rarely form part of accessions from official sources and often have to be purchased.

Sets of local periodicals, which can easily be made accessible and in which non-academics can look up matters reported at first or second hand, could be made available to those who want to use them.

Finally, compilations of oral evidence or recordings originally made for the purpose of scientific, ethnographic, sociological and other research could well be used by a wider public, which might be more attracted by the originality of this audio material than by the written word. It is true that it might take far longer to create collections of this kind than to accumulate more conventional documents.

It should be pointed out that to give priority to collecting and arranging such material of general interest must not detract from the work being done on behalf of more academic readers, who are not however scornful of the value of iconographic and cartographic material as complementary to their work.

There are, of course, many other kinds of documents which contain elements of interest to the general public. We can all draw up our own priorities with lay readers in mind.

Finally, staff who specialise in arranging documents could be asked to draw up a list in the course of their work which shows all documents which are suitable for inclusion in exhibitions, facsimile collections or publications (either important material or that which throws interesting sidelights on certain themes, and also posters and cartographic material). Such a procedure would make it easy when the time comes to choose without any extra effort from a wide range of sources. An additional advantage is that the whole department is involved in work on cultural activities of these kinds.

d) COOPERATION WITH OTHER CULTURAL ORGANISATIONS

The Archives, which are an integral part of the national heritage, generally have everything to gain by seeking to give a more effective service to the public by cooperating closely with other cultural and educational bodies such as museums, libraries, arts institutes, universities and youth clubs. It appears that such joint efforts are commonly found in developing countries (especially the Ivory Coast).

These cooperative efforts take various forms :

---There may be frequent liaison for the purpose of finding out more about the objectives and resources of each organisation. At the local level at least, the lay public, which has very little idea about the work of any of them, will welcome the fact that it can get from the Archives some preliminary information about the museums or the architectural heritage of the region.

---There may be cooperation on the planning of the cultural programme of each body in order to prevent overlapping and to pool experience (both successes and failures) ; and the parties could also cooperate in making loans for exhibitions and in giving publicity to each other's activities.

---Joint ventures might be considered, such as an exhibition using the physical infrastructure of an arts society but professionally arranged by the Archives. It should be noted that the authorities tend to look favourably on such ventures because they reflect a concern to make the best possible use of public facilities and of the public heritage.

---If the Archives hope to loosen some of the administrative and financial constraints and to arrange for efficient distribution of their publications, they must maintain contact with those public departments whose function this is and who can carry out the task properly.

IV. CONCLUSION

An attempt to open up the Archives to a broader public should be made by those who are responsible for this lesser known part of our cultural heritage. This is undoubtedly an important objective, even if it is not the top priority. There may be a temptation to allow ourselves to be carried away by this aspect of the work of the Archives. An archivist who is subject to constant pressure may, depending on his personal tastes, become a 'jack of all trades' in the cultural field and cease to fulfil his other functions.

An additional factor is that not all Archives are of the same kind, perhaps because of their location, the type of collections they house, or the resources and facilities available to other local bodies. Some of them, especially national Archives, have a more academic leaning, while for others cultural activities of a general kind make up an important part of their work. The development of such activities must be regulated by the need to avoid competition and overlapping.

The many different requirements imposed by these dual roles could perhaps be reconciled practically by selecting themes which are related to the more academic work being done at the Archives or, if the subject lends itself to such treatment, current university research projects.

It is obviously impossible to measure the results of any campaign aimed at a non-academic public in statistical terms or over a short period. It is a long and demanding task which will have its setbacks and its triumphs.

However, its beneficial effects may very quickly become apparent in two practical ways : on the one hand, amateurs could help to build up 'archives of ordinary people', private archives, documents relating to topical studies of everyday life, and other documents which rarely form part of accessions from government departments ; and on the other hand, those responsible for the Archives at ministerial level, who may be more concerned with their role of spreading culture than with the preservation and classification of archives, will take a greater interest in archives and will increase their practical support.

Teaching with Archives

MICHAEL G. COOK

In many school systems throughout the world, teachers of children and of youths under the age of 18 are now using primary source materials in their courses of instruction. They are either supplementing the traditional textbooks or are replacing them altogether with original sources. Teachers who have adopted this method of instruction refer to it as the documentary approach to a topic, and they claim that it has been most effective in the teaching of history, social science, and geography. According to them, working with primary sources in those three disciplines enables the pupil to develop both his intellectual skills and his social sensibilities. The teachers point out that the pupil who deals with original materials has to set aside other people's opinions on the matter in question and subject the sources to his own critical thinking. He must extract relevant information from the sources, organize the data, formulate and test hypotheses based on the facts, and communicate his conclusions to the teacher and the other pupils. The teachers add that if the pupil is part of a group engaged in studying a problem by means of source materials, he learns to cooperate with others by participating in the group's efforts to arrive at a single interpretation of the problem. Finally, the teachers assert, the pupil who regularly examines the source materials of history, social science, and geography acquires an ever deeper understanding of past and present human behavior, as well as an appreciation of the continuous interaction of man and nature.¹

The selection of original materials for educational purposes and the development of techniques for presenting the sources to schoolchildren have until quite recently been in the hands of professional educators—those who train teachers and those who do research in pedagogics.² Archivists have played a secondary, albeit supportive, role in that process. Professional educators have gone to archival repositories in search of material likely to lend itself to the documentary method of teaching, and archivists have provided them with the sources. The archivists have usually considered their task completed at that point, leaving it up to the professional educators to issue outlines of courses based upon primary materials, edit documents for publication as source collections, choose manuscripts for reproduction on slides and filmstrips, and advise teachers on how best to use the sources in class.

Lately, however, archivists in some countries have taken the lead in promoting archives as educational resources for pupils under university age. After having established an educational office within their particular repository, these archivists have embarked upon a "teaching with archives" program that includes setting up an educational searchroom in the repository for pupils who come to consult the sources, furnishing the room with special equipment, compiling finding aids specifically for the use of teachers and pupils, and helping teachers to train pupils in the techniques of archival research. Another aspect of the "teaching with archives" program calls for the archivists to take archives to the

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schools by exhibiting facsimiles of original documents within the schools, transporting small bodies of records to the schools for the children to study, and producing collections of primary materials for classroom use. The archivists are opening source materials to children and youths not merely to increase the present number of users of archives, but to ensure a future clientele of skilled adult researchers. In effect, the archivists are trying to awaken in young people what they hope will turn into a lifelong interest in archival sources. Becoming involved in that kind of educational effort is proper for archivists, they say, because the familiarity of archivists with the materials in their custody makes them especially qualified to determine which sources can be most fully exploited for educational purposes. The archivists also maintain that they are capable of assisting teachers in training pupils in the fundamental methods of archival research.

On the basis of the experience which we British archivists have had with educational projects, I suggest that any of our colleagues from other countries who want to start a "teaching with archives" program within their own institution take four preliminary steps. First, they should make sure that enough archivists at the repository are willing to work with children and youths to provide an adequate staff for the program. They should also get a commitment of funds from the administrative authorities of the repository to defray at least some, if not all, of the anticipated expenses. In addition to staffing and financing the program sufficiently, the interested archivists should enlist the support of the appropriate school officials and teachers and should ask for their collaboration in drawing up a statement of the specific educational objectives of the program. If the repository cannot cover all costs out of its own budget, the archivists might propose to the officials that the program be partially financed out of school funds. Finally, the archivists should get the administrative authorities of their repository to create an educational office within the organization. Staff members of the educational office would be given time to acquire the skills necessary to conduct an educational program. They would be free to work either in their own institution or in a school, depending upon the nature of a given project. They would have the right to purchase special equipment for the program, to change their working hours to accommodate the pupils involved in the program, and to supervise the research in a manner compatible with the level of knowledge and the degree of competence of the pupils.

Once those measures have been taken, the staff members of the newly formed educational office should determine the age range of the pupils whom they intend to serve. They should make that decision before any other, because the subject of a particular project to be studied and the number of documents to be selected by the archivists depend upon the age of the pupils with whom the archivists will be working. Archivists engaged in "teaching with archives" programs often concentrate their efforts upon the 16- to 18-year-old group, because they think that only young people close to university age would know how to find the relevant sources and to examine them critically. But our experience with youths of the intermediate ranges of 10 to 13 and 14 to 16 years has shown that young persons of those ages can also learn how to deal intelligently with primary materials, provided that pertinent sources have been chosen for them in advance. They have a fresh sense of inquiry, and once they delve into a subject will usually follow through until they have extracted all of the significant information from the sources given to them. Certain archival teaching projects have even been tried successfully on children under 10 years of age, especially environmental and family history projects that present documentary sources in combination with objects relating to familiar persons and places.³ Archivists should keep in mind that if they want to aim the educational program at chil-

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dren and at youths of the intermediate age groups, they should be prepared to spend time carefully selecting the source materials to be studied.

The next decision for the archivists to make after they have agreed upon the age group of the pupils for whom they want to develop a "teaching with archives" program is to choose the subject of an archival educational project and to locate the proper source materials. The subject can be taken from a wide range of disciplines, including history, political science, geography, and social science, or it can be interdisciplinary. Whatever the subject, however, it should be related to something that the young people are actually learning about in school. It should not be chosen merely because the archival sources are on hand. The selection of a subject on the sole basis of the availability of primary materials has led some archivists to try vainly to teach administrative history to children as yet incapable of comprehending the complex structure of organizations.

My advice that the subject of an archival educational project be chosen for its pertinence to something being taught in the classroom does not, of course, take into account the difficulty of matching the subjects of a curriculum with suitable source materials in the local repository. I realize that the subject of an educational unit will hardly ever be so closely aligned with the holdings of an archives that nothing other than the documentary sources will be needed to accomplish the project. Nevertheless, archivists, teachers, and pupils can collectively solve the problem by gathering nonarchival materials on the subject, such as published works, photographs, museum objects, and items found in the contemporary environment. For example, the subject of the distribution of goods—a factor in the economic and social life of every country—could be presented to the pupils as a project on shopping. In learning about the various aspects of buying and selling, the pupils could use letters from local merchants to the Ministry of Trade as their archival sources and, as supplementary materials, a published history of a department store that they patronize, articles on commerce found among the newspaper collection of the town library, copies of old pictures of shops purchased from a museum, and photographs of business firms of the community taken by the pupils themselves.

When looking for the appropriate source materials for a subject, the archivists should remember that the pupils will not yet have acquired an interest in consulting primary documents and that their curiosity will have to be stimulated. The archivists should try, therefore, to select each document for its strong visual appeal. Something about the appearance of the document should make the pupils want to look at it more closely. With regard to content, each document should possess a "teaching point"—a fact or concept which the pupils derive specifically from that document and which enhances their understanding of the subject as a whole. The teaching point should be immediately apparent in any document given to children. In the case of older pupils, the teaching point should be less obvious in order for them to discover it in the course of studying the document. Because pupils often work together on educational projects, the archivists should also choose a document on the basis of whether it is capable of being examined and discussed by a group.

In fact, one of the greatest problems faced by archivists as they attempt to organize an archival educational project is that of finding enough visually attractive documents whose contents are not only informative but also conducive to group study. In order for the educational office to build a reserve of source materials from which selections can later be made as the need arises, all archivists on the staff should be encouraged to report any documents that they encounter during their routine work which seem suitable to the repository's educational program. A supply of a standard reporting form can be kept in

areas of the repository where staff members arrange and describe records. Whenever an archivist comes across a document that he thinks potentially useful for an archival educational project, he can fill in a form and deposit it with the educational office. The archivists of that office will, in turn, maintain a reference file on those documents. Figure 1 is a model for a reporting form.

I wish to report that the following document is suitable for educational use.	
Document ref.	_____
Description of document	_____ _____
Visual or other special features	_____ _____
Signed	_____
Unit	_____
Date	_____

Figure 1. Example of a report form for registering educationally suitable documents.

Some archival educational projects are best accomplished when the pupils, accompanied by their teacher, come to the repository to do their research. Because ordinary searchroom facilities are inappropriate for children or for groups of youths working as research teams, however, archivists responsible for the "teaching with archives" program should set up an educational searchroom separate from the regular searchroom and should provide it with special furniture and display equipment. Furthermore, the archivists should devise finding aids for pupils and teachers different from those compiled for researchers at large.

Like the regular searchroom, the educational searchroom should be controlled in temperature and humidity, located near the archival storage area, and supervised by professional staff members. Unlike the usual searchroom, it should have easily movable furniture, so that the pupils may either group themselves around tables or work individually at desks. The educational searchroom should be equipped to exhibit such items as original documents or their facsimiles, information that the individuals on a research team want to convey to each other as their project progresses, and written work that the pupils have produced as the result of their having consulted the sources. Equipment should permit the quick and frequent changing of displays. Lightweight and portable screens, as pictured in Figure 2, are more versatile than wallboards, for instance. Archivists responsible for maintaining the educational searchroom should be instructed in the techniques of mounting, captioning, and lighting in order for them to make the most effective use of the display equipment.

In addition to setting up an educational searchroom apart from the regular search-

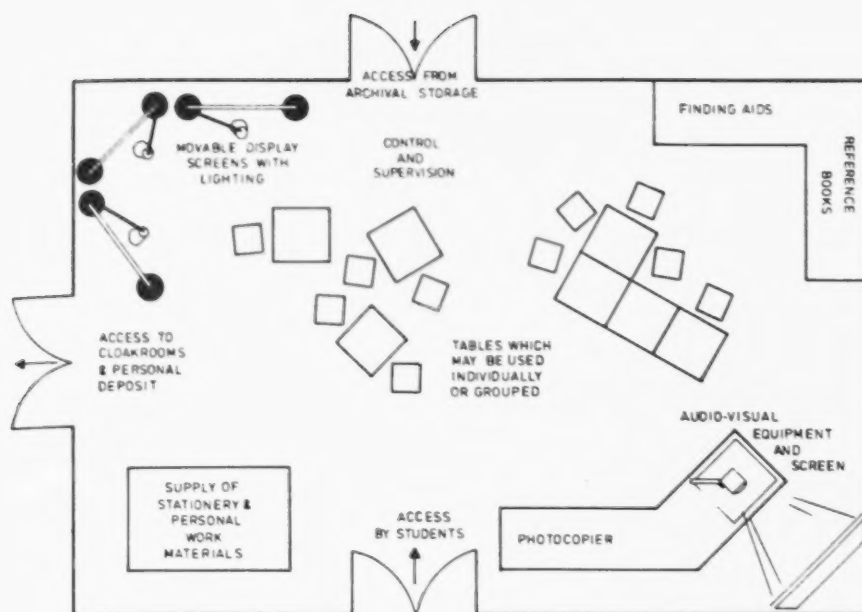


Figure 2. Elements in the design of an educational searchroom. (Drawing by Bob Hunt)

room, the archivists should create special finding aids for pupils and teachers. A conventional guide or inventory describes everything in a series of records, but does so in general terms and usually without ranking the subjects covered in the order of their importance. After having consulted a finding aid for a particular group of records, a researcher selects some documents for examination, sets aside those which have no information pertinent to his area of research, and takes notes on those of value to him. He consults the finding aid again, orders more documents, and repeats the process of research. But pupils who come with their teacher to a repository do not have the time to read documents which will ultimately be of no use to their project. They have to order relevant documents on the first occasion that they use the archives. For that reason, an educational finding aid should list only the sources that have already been determined by the archivists to contain information on the subject of research. The educational finding aid depicted in Figure 3 is meant to be used by the teacher of very young pupils to order documents on their behalf, although older pupils can consult it as well. In fact, every archival project involving schoolchildren ought to have an educational finding aid either for the teacher or for the pupils. What distinguishes an educational finding aid from an ordinary guide or inventory is that it allows the teacher or the pupils to select documents for research while at the same time ensuring that any document chosen will have at least some relevance to the subject of the project. Although the documents have been preselected by archivists, the pupils will still learn to measure the worth of each source according to the quantity and the quality of the pertinent information that they derive from it.

An archivist in charge of the educational searchroom will not replace the teacher of the class engaged in a project, but he should expect to fulfill some teaching functions. Before the class comes to the searchroom, he should see that the finding aids are easily accessible and that an adequate supply of writing materials is on hand. He should locate

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his own desk or work area so that the pupils will feel free to approach him with questions or problems. After the pupils have arrived, the archivist should explain how the search-room facilities are arranged and how the finding aids are to be used. He might also want to make clear that the pupils are to come to him one at a time rather than to converge upon him all at once. In answering the pupils' questions and suggesting ways of solving their problems, the archivist will in effect be teaching them the basic techniques of archival research.

Archives of Anystate EDUCATION SERVICE Educational List No. 100
Subject: Social and economic conditions in the City of Largetown, 1920-1950. Age range: 13-16 (may also be used for short projects 16-18). Relevant syllabi: Central External Examinations Board regulations. Special features: Documents with particular graphic quality are starred (*). Sources used: Archives of city government of Largetown (Department of Housing, Engineer, Public Health, Education); archives of Anystate Ministries of Education, Public Housing and Welfare. References to archive series are given at the end of each section. Related material elsewhere: Museum of Housing and the Family, Smalltown. Suggested preliminary reading: [List of books suitable to the age range.]
Inventory: 1. Official investigation and report into employment and housing in large towns 1910, section 5-7 and appendix III. (Duplicated portions available at the information desk.) 2. *Foster issued by Ministry of Public Health on cleanliness at home, 1923.* (Duplicated copies for sale. Further items from this section of the archives are listed in Education List No. 101.) 3. Letter from prominent social reformer to Prime Minister, April 1934. (The archives of this person are available in the office and are listed in the main searchroom.)
Inventories from which material has been taken for this list: MPH 16 Ministry of Health CGL 1 City Administration, Largetown. To order documents from this list, fill in one of the order forms that you will find on the tables, quoting the number of the list (Education List 100) and the number of the item (e.g., no. 3). Then give the order form to the supervisor.

Figure 3. Example of an educational finding aid.

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Not all archival educational projects can be conducted in the repository. When it is not feasible for the pupils to study the sources at an archival institution, archivists can bring the sources to them by exhibiting original documents in the schools, by taking small bodies of records to the schools for the pupils to examine, and by producing collections of primary materials for classroom use.

Putting on exhibitions of archival materials in the schools is a method frequently used by archivists to introduce young people to documentary sources. Those who have taken such displays from school to school recommend that the theme of the exhibit be connected with a subject that the children are currently studying in class. They point out that an exhibit whose theme bears no relationship to anything that the children are learning is merely a form of publicity for the holdings of the repository, not an archival educational project. Many archivists who have mounted exhibits believe that it is better to show enlarged photographic facsimiles than original documents, because enlargements are more visually striking and are easier to read than originals. A sheet containing brief explanatory notes should be prepared for distribution at the exhibition, they advise. Figure 4 illustrates some methods of displaying archival material in the schools.

Another way in which archivists can bring original materials to young people is by transporting small, cohesive bodies of records to the schools for pupils to study in their own classroom. Obviously, the materials cannot be any that are in constant demand by

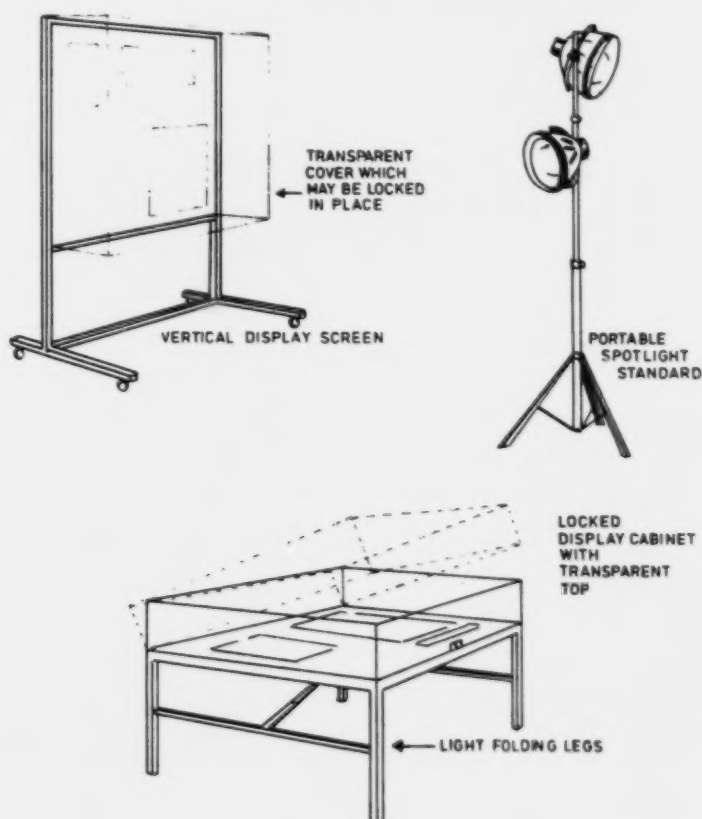


Figure 4. Methods of mounting mobile exhibitions for external use. (Drawing by Bob Hunt)

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researchers back at the repository itself. Special care for the preservation and the security of the records has to be exercised as long as they are away from the repository, but some archivists are willing to take the necessary precautions in order to give the young people an opportunity to handle the materials. They realize that the pupils will remember more about a document if they have held it in their hands as well as read it.⁴

Producing collections of original materials for classroom use is a third means that archivists have of presenting the sources to young people. This method includes compiling and editing a collection, and then issuing it to schools either in published or unpublished form. The main disadvantage connected with the method is that there is unlikely to be any personal contact between the archivist and the teacher once the collection has been issued. The teacher simply orders the collection and uses it as he sees fit. Despite that drawback, however, the production of primary source collections can be a worthwhile part of an institution's "teaching with archives" program, especially a repository without the financial means to equip an educational searchroom or to send out exhibits, but with a staff of archivists eager to engage in educational work.

One kind of source collection that an archival educational staff can develop is a bound volume containing the texts of documents related to a single theme. The documents can be reproduced in letterpress or photo-offset form, or they can be reproduced in facsimile.⁵ Although the teacher who orders the collection makes the ultimate decision on how to use it in his class, the archivist who compiles the collection should make sure that it deals with an important subject and tells a clear story. The documents of the collection might give, for example, a step-by-step description of the attainment of independence by a



Pupils engaged in their own classroom on a project that makes use of primary sources. Wall displays provide pupils with additional information and illustrate pupils' findings. The atmosphere is one of busy informality, with the teacher's role largely advisory. (Schools Council Project, *History, Geography and Social Science 8-13*)

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country formerly under colonial rule. There should be explanatory notes on each document or group of documents. If additional help appears necessary in order for the pupils to grasp the full meaning of the documents, the archivist should include a worksheet with questions on each document for the pupils to answer before the sources are discussed in class.

Another type of source collection is that produced on a filmstrip or on slides. Such a collection is useful mainly for a formal lecture given by the teacher to the entire class. An archivist who edits this kind of documentary collection should accompany it with explanatory material, such as a tape recording that provides narration for the filmstrip or slides.

The "archives teaching unit" (henceforth referred to as the ATU) has become a popular educational tool in many countries.⁶ It is an unbound collection of photographic reproductions of original documents, packed in an envelope along with explanatory materials and supplementary information. Typical ATUs produced by British archivists are limited in subject to something that can readily be illustrated from local archival sources, such as the development of the transportation system of a particular region, the treatment of the poor in a specific part of the country at a set time in history, and the government of a city during a certain period of time. The ATU is designed in such a way that individual pupils, or a team of pupils, may acquire a broad understanding of a subject by studying the documents contained in the envelope and by consulting related works recommended in the explanatory materials. The teacher guides his pupils in the use of ATU materials, but he does not interpret the sources to them, as he is often inclined to do when teaching with bound documentary collections, filmstrips, or slides.



Examples of archives teaching units. (Liverpool University)

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The standard ATU contains, first of all, facsimiles of documents. Of different sizes and colors, and looking dirty, frayed, or crumbled, they preserve the unique physical characteristics of the originals and hence are more attractive to the pupils than the bland printed or typescript texts of bound volumes. Explanatory materials for the teacher included in the ATU deal with the educational objectives of the unit, the means by which the teacher can assist the pupils in deriving information from the documents, and the ways in which the unit is relevant to some formal examination that all pupils in the school system must take. For the pupils, the explanatory materials contain information on the historical context of the documents, textual notes, a glossary of difficult or technical terms which appear in the documents, a discussion of the wider implications of the subject, and a list of works suggested for study along with the documents. Questions set forth on worksheets are so worded as to prompt the pupils to collect pertinent data from several documents in preparing their responses. Supplementary materials in the ATU, intended to deepen the pupils' appreciation of the subject, include wall posters, slides or filmstrips, and a list of recommended games, simulations, construction projects, and artwork.

One great advantage of the ATU over the bound collection of documents is that a smaller number of ATUs than bound volumes is sufficient for a class. A class of 30 pupils, for instance, requires 31 sourcebooks: one for each pupil and one for the teacher. On the other hand, the same class needs only six ATUs: one for each of five groups of children, and one for the teacher. Each of the six pupils in a group consults a different document, and the documents are then exchanged. Every ATU comes with a document list, so that the teacher may keep control over the loose documents while the pupils are working with them and retrieve all documents when the project is completed.

The "archives teaching kit" (henceforth referred to as the ATK) is a further development of the ATU in that its subject is broader in scope and its materials more varied in type than those of the ATU.⁷ Subjects of the curriculum which lend themselves to the ATK are usually so large that no single institution possesses all of the pertinent sources. Topics of national interest, such as the original settlement of a country by primitive peoples, the lives of kings or of other national political leaders, the foreign affairs of a nation, or the growth of industry within a country, are best studied by means of the ATK. Although the basic materials of the ATK are—like those of the ATU—facsimiles of archival sources, the ATK also contains books, films, real museum objects or actual-sized reproductions, and other items borrowed or copied from private sources.

The institution that seems most suited to issue the ATK is not the individual archival repository, but rather an institution that has just recently appeared in developed countries. This is the teachers' resources center, a place where teachers can come for help in designing a curriculum, for further professional education, and for assistance in handling the more mechanical of the teacher resources.⁸ Professionals employed at these centers are supposed to be expert not only in teaching, but also in the assembling of resources upon which teaching and learning are based. Archivists interested in education have an important responsibility of making the staffs of these centers aware of the instructional value of archival materials. Around the archival sources, the staffs of these centers can collect other types of original materials and thus create ATKs for educational projects of all kinds.

"Teaching with archives" programs for children and youths under the age of 18 have taken a variety of forms in Britain, as we have seen. They include the research project carried out at the repository itself in an educational searchroom provided with special finding aids and display equipment; the exhibit of source materials taken to the school; the research project in which a body of records is transported to the school and worked

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on in the classroom; and the source collection, issued as a bound volume, a filmstrip, a set of slides, or a kit. Those of us engaged in archival educational projects in Britain believe that each of these forms can be adapted to suit any repository whose professional staff members want young people to appreciate the value of original materials and to acquire the skills needed for archival research. In turn, we welcome the suggestions of archivists of other countries who are conducting their own "teaching with archives" programs.

FOOTNOTES

¹The above is a summary of the general objectives which a recent Schools Council research project has attempted to set for teachers using primary sources as a means of instruction. This is the History, Geography and Social Science 8-13 Project, and it is described in W. A. L. Blyth, *Spotlights, A Summary of the Project's Approach* (1973).

²On the influence of professional educators in promoting the use of primary sources in the classroom, see J. Fines and D. J. Steel, "College of Education Students in the Archives Office," *Archives* 9 (1969): 22-28.

³See, for example, Great Britain, Schools Council, Committee for Wales, *Environmental Studies 5-13: The Use of Historical Resources*, Working Paper No. 48 (London: Methuen, 1973).

⁴Michael G. Cook, *Archives Administration: A Manual for Intermediate and Smaller Organisations and for Local Governments* (Folkstone, Eng.: Dawson, 1977), p. 188.

⁵For an example of a documentary collection published in letterpress, see Elizabeth Melling, ed., *Kentish Sources* (Maidstone, Eng.: Kent County Council, 1959). For an example of a series of bound volumes of documents reproduced in photographic facsimile, see J. M. Thomas, ed., *History as Source* (London: Evans, 1970-71).

⁶For an evaluation of the first generation of ATUs, see Robert G. E. Wood, "Archive Units for Teaching," *Teaching History* 2 (1971): 158-64, 2 (1972): 218-27, and 3 (1973): 41-46.

⁷Great Britain, Schools Council, History, Geography and Social Science 8-13 Project, *Place, Time and Society 8-13* (1976) describes "resource units," which are the same as ATKs.

⁸Great Britain, Schools Council, Resource Centre Project, *School Resource Centres*, Working Paper No. 43 (1973).

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ARCHIVES AND PUBLIC RELATIONS

by Dr. WILFRED SMITH, Public Archives of Canada, Ottawa

The selection of public relations as one of the subjects to be discussed at this conference is significant since it is only recently that public relations has been recognized as a major concern for archives in all stages of development. One can look in vain in archival bibliographies for articles on this subject. I do not believe that it has ever been on the agenda of an international congress on archives and it was only last year that it was the subject at the annual meeting of the International Round Table on Archives which was held in Canada. The relatively primitive stage of development of this aspect of archival functions was indicated when only 40 members were able to answer the detailed questionnaire which was circulated and many of them were unable to answer portions of it. Yet all respondents recognized the importance of the subject and indicated that they hoped to profit from the experience of other countries.

The term "public relations" has a popular connotation of application to the promotion of commercial products or services and it may not seem appropriate to relate this purpose to cultural institutions. And yet archives, to use commercial terminology, have a product to sell. It is no less than the documentary heritage of our respective countries, the record of human experience, the collective memory of mankind. Archives are the raw materials of history, they can contribute to national identity and unity. They provide continuity from generation to generation. They not only contain valuable information, but by their nature as unique and authentic records they have the ability to capture the imagination, to permit a personal sense of identification with the past, to bring the past to life in a way that cannot be matched by published works. And yet archives are usually given a low priority in the allocation of public funds; they are underutilized except for a relatively small group of researchers; they do not play an essential role in the life of the community; they have little impact on the general public and they are used little in the educational system, where their in-

fluence should be most effective. Public relations cannot reverse this situation, but it is a means for informing those who are responsible for national policies and the allocation of financial resources of the importance of archives, of building a broader base of support for the work of the archives, of informing researchers of the materials and services which are available to them, of sharing with the public some of the excitement and sense of discovery which contact with archives can bring, of making history a living force in the education of our children. These goals surely justify the concern of archives with public relations.

Public relations needs to be defined. In a narrow sense it is confined to publicity, the use of the media. In its broadest sense it includes all relations with the public, including the provision of documents to researchers in the archives and the answering of written inquiries. I have used the term to include all means by which the archives informs those outside the archives about its work and its holdings and services and exhibits or disseminates its holdings to the entire community or particular segments of it.

At the Round Table meeting in Ottawa public relations were considered under four headings, publicity, publications, exhibitions and educational services. The report of the Secretary contains an analysis of the questionnaires which were returned, many statistics and examples of particular initiatives taken in many countries. The report of the proceedings contains a summary of the discussion and conclusions reached regarding these topics. I direct these reports to your attention.

I would like to approach the subject in a somewhat different manner by focusing attention on those to whom information is directed. While there is some overlapping, I suggest that there are four distinct categories: the government, the researcher, the general public and the educational system. Let us consider each of these groups.

1. *Government.* If the archive is to play an effective role in society it must have adequate staff, facilities, equipment and related funds. In obtaining these resources the archives must compete with requirements for buildings, roads, health services, education, defense and other community needs as well as with other cultural institutions such as libraries and museums. Those responsible for the allocation of resources – ministers and Treasury officials – must be convinced of the *profitability* of expenditure on archives, that archives are not a nonessential frill or a luxury but that they provide essential services to the government and the public. The most appropriate instrument for this purpose, of course, is the annual financial forecast or budget. Each government has its own method and format for budgets, but there are usually attempts to improve the presentation, and the archives should be the first to adopt suggested changes. There is a tendency to replace the consideration of line objects such as salaries, supplies, etc. by a PPB (Program Planning and Budgets) system which de-

scribes the purpose and expected benefits of a program. Long term planning, which indicates reasonable installments to achieve desirable results, is also effective. It is important to develop a reputation for credibility, accuracy and efficiency. A certain amount of opportunism, in relating the archives to particular government policies or programs is desirable. A concern for urban development or transportation may yield a staff position to acquire maps, plans, architectural drawings, photographs and transportation records; provision for student summer employment may prompt suitable projects in the archives field. In Canada the destruction by fire of old film was an incentive in establishing a national film archives and a concern for oral history for establishing a national archives of sound. If there is not an efficient records management system for the government departments, the archives should take the initiative in establishing it. The results in terms of actual savings and improved efficiency should convince the most practical politician.

Another instrument for informing and influencing decision-makers is the annual report of the archives which can be distributed to every member of the legislature. The minister responsible for the archives can be "educated" by inviting him to open exhibitions or address participants in conferences, delivering speeches prepared for him by the archivist.

Every effort should be made to develop cooperation with the departments. The most effective means is through records management, by providing advice and assistance and giving courses for records managers. Visits which point out the value of earlier records for current operations and the services which the archives can provide in this respect can be useful. Recommendations to departments concerning relevant events to commemorate or suggestions of commemorative stamps are among minor methods of showing the value of archives to government, as well as invitations for visits or tours to distinguished visitors or groups of visiting constituents. The methods will vary with circumstances in different countries, but the aim is the same: to demonstrate to all levels of government the value of archives and to convince them that expenditure on archival functions is a good investment.

2. *Researchers.* Since archives are acquired and preserved because of the information they contain it is their use for research purposes which has provided the chief justification for the support of archival repositories. To a certain extent researchers are a captive audience since they must go to the archives for the original research materials they require. There is an obligation not only to provide an efficient reference service, but also to inform potential researchers about the material which is available. The bulk of archives publications are some form of finding aids. These range from a union list of manuscripts in all repositories in the country, to guides to the total holdings of an archives, to inventories describing the contents of archival units, to detailed lists of the contents of series of government records or private papers or catalogues of maps,

pictures, sound recordings or films. Most detailed finding aids are not published and are only available in typed or mimeographed form or even index cards in the archives. Cost and the limited clientèle are a deterrent to publication. A relatively cheap method of distributing finding aids is to microfilm them and sell copies in roll or fiche to universities at home or abroad where they will be available to potential researchers. In any case every effort should be made to inform interested persons regarding the holdings of the archives. Other aids to research are interlibrary loans of microfilm and the deposit of microfilm in regional repositories for the use of researchers who need not travel to the central repository. In addition to finding aids other types of publications are of value to those concerned with the materials in archives. For example, the publication of selected documents can be a supplement to research and valuable for teaching purposes.

Other methods can be used to promote the use of archives for research purposes: contacts with history professors regarding research projects for students, visits to universities to explain the services of the archives or visits of students to the archives, supplemented by lectures, slides or films, the distribution of annual reports and lists of accessions to university or public libraries or relevant departments, the distribution of archives newsletters to the academic community. It should be borne in mind that the provision of an excellent service to researchers is a basic obligation and, incidentally, that an informed and concerned academic community is traditionally the most effective force outside the government in promoting support for archives programs.

3. *The general public.* It is this area which has been most neglected in the past by the archives. The justification for neglect is that it is only a small group of researchers who are concerned with the archives and that it is not necessary to advertise services to this group. This reasoning fails to take into consideration the fact that public awareness and support of archives is important and also that the archives can provide important services to the general public. It is in this area that the media can be most effective. Let us consider each in turn. *Newspapers.* Unless it is a paid advertisement it is necessary for a story to be newsworthy. This may relate to exhibitions, particularly if they are opened by distinguished personalities, important acquisitions or features of archival work or services or archival materials relating to a significant or topical event. *Periodicals* are less reliable, but occasionally articles on the archives may reach a wide audience as for example articles on the Public Archives of Canada in *Readers Digest* and *Weekend Magazines* which reached several million readers. Regular sections on archives in historical or educational periodicals are useful. Books which are directed to the general public are a valuable means of stimulating public interest and sharing archival material with a wide audience. Selections of documents do not have a wide public appeal, but if well illustrated or consisting primarily of illustrative material such as paintings or photographs

on historical themes they may become best sellers. Some archives, such as in Canada and Great Britain, have co-operative arrangements with commercial publishers which results in wide distribution at little expense to the archives. *Radio* is a medium which could be used very effectively by most archives chiefly by the narration of stories which are based on material in the archives and which are of general interest. Some activities provide material for regular broadcasts of this nature. *Television* has the greatest impact on the general public but is little used by archives except for Byelorussia, Poland to a lesser extent, and in Canada where there is a regular television program on the archives as well as the extensive use of photographs and film as a part of an increasing number of television programs on historical subjects. It should be mentioned that short films on archives have been prepared in France, Russia and Poland, which are shown to the general public.

Probably the most general and most effective means of bringing archival material to the public is in the form of exhibitions. Several archives have permanent exhibition areas such as the Musée de l'Histoire at the Archives Nationales of France or the exhibition room at the National Archives in Washington which attracts 800 000 persons annually. In most cases exhibitions consist primarily of manuscripts on a particular theme, but visual material from the archives is also used. In some cases, particularly in Canada, exhibitions are designed to travel extensively throughout the country and, in the form of reproductions are shown in shopping centres and other areas where large numbers of the public are concentrated. Exhibitions are considered one of the best means of publicity for archives and also contribute to the growing popular interest in history and enable large numbers of people who are not researchers to have exposure to archival material. Other methods of disseminating archival material is by the sale of facsimiles, slides and postcards of significant documents or pictorial items. Periodic "open house" arrangements, where the archives is open to the public for an evening, are additional means of stimulating public awareness and interest. Finally the use of publicity campaigns on archives can be very effective. The most prominent example of this device is in Poland where every five years there is an archives week marked by publicity, lectures, films and publications to draw the attention of the community to the importance of archives.

4. *Educational Services.* The ultimate expanded use and impact of archives in terms of numbers and effectiveness is in the teaching of history in schools. Several experiments have been conducted in a number of countries, but this area remains the chief challenge to archival institutions which wish to play an important role in the community. Up to the present educational services have been chiefly in the form of visits of groups of students to the archives. In this respect, the work of the Archives Nationales and departmental archives in France has been predominant. The Archives Nationales has a full time staff of four school

teachers who organize educational visits to the archives museum and also provide portfolios of reproductions of documents. Another stage is to have reproductions of archival material used in all schools as a normal method of teaching history. This could add a new dimension to teaching and the stimulation of interest in history. There have been experiments in Ireland and other countries, but so far costs and the difficulties of obtaining the cooperation of schools has prevented general acceptance of this use of archival materials. Unlike artifacts in museums, archival material has the advantage of being able to be reproduced accurately and in multiple copies relatively cheaply. Selected kits of archival materials as a normal supplement to teaching materials, would add little to educational costs and could revolutionize the teaching of history. In addition to the distribution of facsimiles of selected documents, series of slides of documents, pictures or maps can be very effective and there have been experiments in the use of colour microfilm or microfiche for use in classrooms. Important developments in this field are imminent.

It is apparent that the area of public relations is in a relatively early stage of development, but the important potential is being realized in terms of the increased effectiveness and impact of archives on the entire community. In the past there has been an impression that public relations in its various aspects is an expensive frill which only the most prosperous archives can afford. It is true that certain aspects, such as extensive publications, ambitious exhibitions and paid advertisements can be expensive, but a great deal can be done with little expense. It can be argued, in fact, that the archives which can benefit most from public relations are those which are in early stages of development and require resources which can be justified more easily by an expanded role of service to an entire community rather than a small segment of it. It is largely a matter of attitude. If an archivist looks outwardly instead of inwardly, is active rather than passive, wishes to see the maximum utilization of the materials in his custody and is inspired by the prospect of transmitting the heritage of the past directly as well as indirectly to each generation, then he will find the means within his resources to demonstrate the value of archives, adopting the means to particular circumstances in his environment, and proving that archives are worthy of more public support because of the real services which they provide.

"... a collective memory
of shared experiences."

Wilfred I. Smith

Archives and Culture: An Essay

Archives are an important product of civilization, a cultural resource, an essential element of the human heritage. Until recently, however, archival institutions have played a passive role, as repositories which were visited by a limited number of scholars. But in the contemporary world which emerged from World War II, those responsible for archives have become increasingly conscious of the part they could and should play as active cultural agents.

In these pages, we will discuss the essential nature of archival documents and the expanding scope of their utilization in a world in which information is one of the strongest forces shaping society.

The Nature of Archives

Culture, heritage: these are two familiar and related words which have a wide range of definitions depending upon the context in which they are considered. Is culture limited to aesthetic elements such as the visual and performing arts or is it the totality of all aspects of human life? Is heritage limited to material elements such as historic sites and buildings or is it the total record of human experience?

If one were to accept the broadest definition of culture, including political, economic, social, religious, educational, scientific, literary, artistic and recreational aspects of human life, then all human activities would be cultural. In a more limited sense the term "cultural" is usually

applied to products which are the results of aesthetic, artistic and intellectual activities, the visual arts, music, drama, dance and literature. Beauty is a key word in this limited interpretation—beauty of form, sound, movement and expression. However culture may be defined, whether elitist or popular in scope, aesthetic or vulgar in nature, few would deny that a proper cultural concern is the transmission to future generations of the most significant products of human creativity and experience, the preservation of the heritage of mankind.

While the popular concept of culture is less and less limited to certain aspects of human life, the concept of heritage, rather surprisingly, tends to be increasingly limited to certain material elements of man's inheritance. A striking example of this tendency is the Convention for the Protection of the World Cultural and Natural Heritage which was adopted by the Unesco General Conference in 1972 and came into force in December 1975. In Article 1 the definition of cultural heritage, for the purposes of the Convention, is limited to monuments, buildings and sites. In Canada, for example, the chief responsibility for ensuring implementation of the Convention is assigned to Parks Canada (the government agency responsible for national parks and historic sites), in cooperation with certain other agencies such as the Canadian Wildlife Service and the National Museums Corporation. In Canada, also, an annual Conference on Historical Resources, is concerned primarily with historic sites, parks and museums. An agency which is devoted to the preservation of historic buildings is called Heritage Canada, and many "heritage" groups have been formed in provinces and municipalities for the same purpose. While circumstances differ from country to country the tendency to apply the word "heritage" primarily to physical structures is almost universal. There is, of course, ample justification for concern with preservation: visible destruction and deterioration, with their effect on the environment have an important impact on the public because of the symbolic nature of material structures. Historic buildings and sites, artifacts and art, these are indeed a rich inheritance, but they are, of course, only a portion of man's heritage.

In addition to physical evidence and the works of man, our heritage includes the product of man's unique capacity to think rationally, to record and transmit ideas and information. No matter how richly endowed any people may be with material monuments from the past, an essential cultural element is the particular sense of history that a particular people has developed, a collective sense of identity and continuity. Man finds his sense of identity upon a knowledge of the past that has

shaped him and the society in which he lives. For that knowledge he needs the printed text and the archival record, or failing that, oral tradition imbedded in the memory of man. They serve not only to record and express human thoughts and actions through the media of text and image which is an achievement of incalculable significance, but also to illuminate the spacial dimension inherent in the physical products of civilization. It is instinctive for all living creatures to transmit skills and knowledge to their offspring, but man's ability to record thoughts and actions has made available to subsequent generations the cumulative knowledge and experience which has made civilization possible. The cultural value of the recorded past was explained by the late René Maheu in the famous debate with Jean d'Ormesson in 1974: "...the historical approach is necessary for apprehending any cultural reality, present or past, because only such an approach provides us with the meaning which is the essence and the message of culture".¹

Published materials and archival materials have a great deal in common as sources of information. This relationship is recognized in the NATIS program which was approved by the General Conference of Unesco in 1974 and which includes archives and libraries as elements in national information systems. There are, however, distinct archival characteristics which are important in the context of preservation of the recorded past.

The most apparent of these characteristics is uniqueness. The fact that archives are unique has a significant influence on preservation, accessibility and popular perception. They share with physical structures and works of art the threat of extinction since destruction or deterioration is usually an irreparable loss, yet one which has little immediate impact on the public. The uniqueness and fragility of archival items is also a barrier to the accessibility and distribution which is characteristic of most published materials.

Another characteristic which distinguishes archives from published materials is the purpose for which they were produced. Publications are prepared for and directed to an audience, the entire community or at least a segment of it. Archives, on the other hand, are produced incidentally in the course of functional activities. Minutes of meetings, financial records of a business, income tax returns, correspondence, all are intended to facilitate the functions of a corporate body or to inform one or more individuals. Consider, for example, the difference between the published annual reports of a government department and the working files of that department or the difference between a statesman's speech as published

in the official journal and the entries in his personal diary. The circumstances of the production of archives give them a candid quality which is unique to archives as recorded information. Archival documents are at the same time more intimate, more individualized, but also more reflective, and consequently more revealing, of the human context in which they were produced. Their mere existence and character are a testimony to the level of development of the community, the richness of its peculiar traits.

THE TRADITIONAL USEFULNESS OF ARCHIVAL DOCUMENTS

Archival institutions have existed for many centuries in all literate societies; they were established and maintained for essentially practical purposes of public administration, to safeguard records of property rights, legal obligations and taxes, for example. Records in the private sector were retained for similar reasons and personal correspondence was often kept as a result of inertia, the availability of storage space and the assumption of continuing confidentiality. This continues, and will continue to be true. A revolution in the handling of documents is a result of the explosion of records created for the administration of the war, with its endless series of controls over the economy and daily life, and continued with the many programs of the "welfare state" where every citizen was directly in contact with the administration for an ever increasing number of occasions, "from the cradle to the grave". Today, the private individual can easily and speedily communicate with persons in his town, region, country and the entire world for his intellectual or material needs, and yet, despite the telephone and travel by jet, he continues to consign to paper, or film, on tape, his ideas, desires and memories.

In the case of public records, the primary users are the government which originated the records. Precedents are important, ranging from the protocol for state funerals to mobilization plans in the event of war. Retrospective records are essential to planning and the development of policy. Recent studies have provided impressive evidence concerning the value of information in archives for the promotion of nearly every aspect of economic, social and political development in developing countries and this is true of all countries. While modern records management systems should ensure the identification of records which have enduring value, their orderly transfer to archives and efficient retrieval of relevant information, archivists can improve their services by maintaining a close liaison with government officials, anticipating requirements and inform-

ing appropriate agencies regarding sources relating to current problems such as resource development, transportation, education, epidemics or crop failures, and many other subjects, thus enabling government administrations to profit from earlier experience.

But soon after the French Revolution, initially in France, then in England, and in most countries in the nineteenth century, archives became the hunting grounds of scholars, mostly historians and antiquarians. The most extensive use made of archival documents was as a source for research. Four factors greatly increased their use: greater right of access, wider interests on the part of historians, the incorporation in studies conducted by other newer disciplines of information preserved in original documents, and entry into the ranks of researchers by non-professional people.

Despite some recognition of the right of access to public records nearly two centuries ago, the extent of the use of archives for historical research has been rather restricted. Until recently it was normal in most countries to deny access to public records until they were at least fifty years old. The result was that thorough research was limited to the distant past and historians of modern if not contemporary periods were obliged to rely to a large extent upon published sources. A trend towards liberalization marked by such events as the endorsement of a thirty year access rule by the International Council on Archives in 1968 and the United States Freedom of Information Act of 1966 has released vast quantities of research materials, greatly increased the clientele of most archives, and resulted in historical publications which provided an increased number of readers with information concerning their more recent past.

Another factor in the increasing use of archives for historical research is the habits of historians. Early histories were narratives whose appeal was based on interesting subject matter and literary style but which were not based on original records. The scientific school of the nineteenth and twentieth centuries aimed at accuracy and objectivity and depended upon an exhaustive examination of archival materials. The increased volume of available sources has been accompanied by a remarkable increase in the number and variety of historical publications, by improved accuracy and higher standards of professional criticism. While providing an essential service to the community in revealing and explaining the past and often relating it to the present, changing interests and trends of research have been apparent with a tendency to shift emphasis from political, constitutional and military history to social and economic

themes, to comprehensive studies of social change on the one hand and to intensive studies of limited scope on the other. The discovery of the computer by historians has resulted in quantitative research which is a direct result of the increased availability in archives of the appropriate records.

This increased availability of archival material of various types has been accompanied by distinct changes in the composition of the clientele of archives. Traditionally, historians have been the principal users but increasing members of other disciplines are discovering the value of archives for their purposes. Economists, sociologists, political scientists, geographers, and scientists are among those who are turning in increasing numbers to archives.

Perhaps as significant, however, is the evidence that a great deal of the products of professional research, important as it is to the community, are not satisfying the perceived needs of the general public. While an increased awareness of history is shown in the increased number and impressive sales of historical publications, the proportion of non-professional authors is increasing. Of approximately five hundred historical publications in Canada between 1967 and 1972 nearly half were written by amateur historians who also make use of the archives, particularly private papers. Many of those who are crowding the search rooms of archives do not intend to publish the results of their research. They include university students who are preparing dissertations, genealogists and other adults who find research an interesting hobby.

Archival Institutions as Active Cultural Agents

Until well into this century, most archival institutions played a rather passive rôle in the cultural scene. Most received transfers of public records from the administration and many accepted gifts from societies and private individuals concerned about the conservation of their papers. Their doors were open (or half-open) to researchers. Their staff was occupied in organizing old documents and preparing finding aids for present and future generations. They carried out important functions but their horizons were limited. Libraries and museums were more conscious of the need of salvaging from neglect perishable cultural elements such as private papers and records.

But after 1945, the archival world underwent a serious reappraisal of its functions, both administrative and cultural, which has been called,

with some exaggeration, its "revolution". It took many forms, several of which were in direct response to the new technology. Two aspects are of special interest here: a positive approach to acquisition and a dynamic approach to diffusion.

The positive approach to acquisition was primarily the result of the enormous quantity of records created by administrations, as well as private societies and individuals, and the greatly enlarged number of media which recorded thoughts, events, and the changing world around us. The problem was at once one of quantity and quality. It became imperative that the limited resources at the disposal of archival and allied institutions be used in the most effective way to carefully select a manageable quantity of records without, nevertheless, neglecting information on new supports. This new outlook in archival administration led to increased involvement in the creation, conservation and destruction of traditional paper records, and a search for the best documentation on film or on tape, and the most potentially useful iconographic records. It even introduced into archives some activities akin to creation of records, the recording of oral tradition and oral history.

The more dynamic approach to diffusion was due, in large part, to the democratization of culture and means of communication, a new awareness on the part of the public, more educated and better informed, of its environment, physical and cultural, which was translated into a keen interest in ecology, and local, regional, national and world "heritage".

It was realized that while proper weighing of documentary evidence, and its presentation in an intellectually satisfying synthesis were still the specific function of scholars, of specialists, there was also a place for a more emotional, instinctive and common appreciation of documents. One of the outstanding qualities of archives is their impact on the reader, or viewer, or auditor. The message is intercepted without benefit of gloss or interpretation by the historian. This kind of discovery is the closest one can come to the reality of human communication in an age that is not our own. It is an exhilarating experience. It has the effect of permitting a personal identification with the originator and a particular event or moment in time. When archives are submitted to the appreciation of millions, through the media, particularly television, they tend to instill in the population an intimate sharing of the experience of the past and develop a sense of collective, distinct identity which is significant for harmonious relations between men.

It is also true that archival institutions had more self-serving motives. Traditionally, only one-tenth of one percent of the population had the

opportunity to have direct contacts with archival institutions. If the other 99.9 per cent was given the opportunity to make a rewarding and exciting use of documents, the archives would be much more effective in carrying out their mandate. Their image would be greatly enhanced, and it would be easier for them to obtain the financial resources, facilities and staff necessary to respond to ever increasing responsibilities of acquiring, conserving, and making easily available the records of the past for the present and future generations.

Thus archival institutions have become active cultural agents in the diffusion of their holdings. This diffusion has taken many forms, as could be seen at the International Round Table on Archives held in Ottawa in the fall of 1974. The report of the meeting will be published shortly, but it may be of interest to review the various elements in these diffusion or extension programs, some in existence for many years, but many very recent, and in some countries, still at the planning stage. Illustrations will be primarily taken from the Public Archives of Canada, with which the author is most familiar. It received a great impetus in 1972, as part of the cultural policy of the Government of Canada to democratize and decentralize cultural resources and services for the benefit of a large proportion of the Canadian public.

DECENTRALIZATION

Decentralization of archival materials in Canada has taken the form of deposits in each of the ten provincial archives of microfiche copies of the most significant sources including papers of Prime Ministers and records relating to immigration and development of resources. Seven thousand two hundred and fifty reels of microfilm have been distributed so far, thus making research materials available to many thousands of potential users who would be unable to visit the national archives. Copies of manuscript documents will be followed by those of maps, drawings and other materials. Regional archival units and presidential libraries located in several parts of the United States but administered by the U.S. National Archives, are an interesting method of regional decentralization of original documents.

PUBLICATIONS

Most publications of archives are in the category of finding aids which facilitate research by providing information concerning the sources which are available. These correspond to several levels of des-

cription of archives, including comprehensive guides to sources in an entire country such as the *Union List of Manuscripts in Canadian Repositories* (ULM), guides to the holdings of a repository such as the general inventories to groups of manuscripts and records in the Public Archives of Canada, guides to materials relating to a particular subject, period or type (such as a guide to materials on microfilm), and more detailed inventories of particular series or collections. Detailed findings aids are not only available in repositories on cards or in typed or mimeographed form but are now being published on microfiche for sale nationally and even internationally.

Annual reports, primarily intended for the information of ministers or officials and other archives, often include lists of acquisitions and because they are of great interest to researchers and donors, they are now frequently widely distributed.

Information brochures which contain general information concerning the archives, specialized divisions of it or particular services (such as research procedures or reproduction services) are usually intended for the general researcher, but some are directed towards the general public. Canadian examples are "Tracing your Ancestors in Canada", "Saving your Papers", Canadian Photography?... Who Cares!"

The publication of documents by archives is relatively rare because of the cost and a limited market. But in most instances, the Archives have a great input in these publications. For example the publication of papers of American Presidents and similar projects are sponsored by the National Historical Publications and Records Corporation which is presided over by the Archivist of the United States. The Public Archives of Canada has published itself a series of constitutional documents and other volumes of documents, the most recent of which is *Nouveaux Documents sur Champlain et son époque, 1560-1622*.

Exhibition catalogues are published by most archives but the number, quality and distribution vary greatly. In some cases they can become the basis for major popular publications. An example is the Public Archives of Canada Series, a co-production arrangement with the University of Toronto Press. Volumes include *Archives: Mirror of Canada Past 1872-1972*; *Relentless Verity*: military photographs since 1885, and *Braves and Buffaloes: Indian life in 1837*. The publications, all well illustrated, have been highly popular if not best-sellers.

Facsimiles of documents and maps have been produced on a limited scale in several countries and facsimiles of seals have a wide popular appeal, particularly in Belgium, Great Britain and France.

The production of coloured slides is another promising field for the popularization of archives and for educational services. In Canada, sets of slides on particular themes are distributed by the National Film Board. Publicity slides, illustrating the work of the archives, have been shown to visiting groups and circulated in Canada. Publicity films are more rare but examples exist in France, Poland and Malaysia.

EXHIBITIONS

The most widely used method of popularizing archival material is the preparation of exhibitions. While there is an enormous range in the size and number of exhibitions and in the number of viewers, nearly every archives has an exhibition area. There is rarely a separate budget or special staff for the preparation of exhibitions and visitors are often fewer than 1000 each year. There are, however, some notable exceptions. Perhaps the most outstanding exhibitions program is that at the United States National Archives which attracts nearly 1,000,000 visitors each year to view the permanent display of the Declaration of Independence, the Bill of Rights and the Constitution, thousands of facsimiles of which are sold at the Archives, and other exhibitions which are changed at six months intervals or more frequently. The educational Programs and Displays Section is responsible for research, design and reception of groups and individual visitors. Another prominent example of the use of exhibitions to illustrate history is the Musée de l'Histoire de France in the Archives Nationales. It has a special staff, changing exhibitions and receives each year approximately 20,000 visitors in addition to the students who participate in the educational service.

Many archives are deterred from extensive exhibitions programs because of the expense and staff time which is involved in their preparation. The Public Archives of Canada provides an example of maximum utilization of exhibitions in regard to publicity and audience. An exhibitions program provides for four major exhibitions and a larger number of smaller exhibitions each year. Each is a cooperative project involving the Exhibitions Division which is responsible for design, construction and transportation, an archivist who is assigned to the project for research, selection and preparation of a catalogue, and publications and media relations staff to arrange for publicity. Exhibitions are opened officially by the Governor General, Prime Minister or appropriate cabinet minister at a reception to which members of the media are invited to ensure extensive coverage; television and radio interviews are arranged and are

often accompanied by newspaper features on the subject of the exhibition. Most exhibitions are prepared in a portable format and are usually sent on a circuit of archives and galleries throughout the country. Catalogues are often the basis for popular publications and on several occasions educational films for use in schools have been based on the exhibitions. Finally, sets of coloured slides are often made of items in the exhibitions. One example is an exhibition on immigration to the Canadian prairies, 1870-1914, which included government documents, private papers, posters, newspapers, maps and photographs. The official opening by the appropriate cabinet minister was given national coverage by newspapers, television and radio. Television interviews were held with the archivist who prepared the exhibition. The educational Television Authority of Ontario prepared a 30-minute colour film based on the exhibition and a running commentary by an original settler who viewed it. After substitution of original documents by facsimiles the exhibition was transferred to the Department of Manpower and Immigration which circulated it to popular fairs and other locations in Canada during a two year period. Another interesting recent experiment indicates a potential method of popularization of documents. Facsimiles of old maps of Ottawa were displayed in several shopping centres in the city. They proved to be very popular and stimulated the interest of many persons who do not normally visit archives or galleries, and a published volume of the reproductions had extensive sales. Other exhibitions have been displayed in airports and hotel lobbies. If the cost of preparing an exhibition is related to a few thousand visitors to an archives, the expenditure may warrant a low priority, but if it can be exposed with little additional cost to a million viewers it must be regarded as a sound cultural investment.

MASS MEDIA

The use of the mass media to publicize the services of archives is not extensive. This is not surprising since archives news and events must compete for public attention with all other news. Newspaper coverage includes a few paid advertisements, official statements based on press releases, reports of interviews and news reports relating to ceremonies, appointments, buildings or acquisitions. In almost all cases the number and extent of newspaper items depend on the initiative of the archives, a close relationship with interested journalists and an appreciation of what is regarded as "newsworthy". The interesting contents of archives remain largely untapped by newspapers. In Canada and undoubtedly in other

countries, there are examples of newspapers which have a regular daily or weekly column on local history which is based on archival sources, and this is a method of popularizing history which should be explored.

The use of periodicals is more extensive. There are a few outstanding archival publications such as *Prologue* by the United States National Archives and a growing number of periodicals, journals or newsletters of professional associations, articles by archives staff in periodicals which are interested in such subjects as records management, photography, oral history, genealogy, conservation and a wide range of historical subjects. But these address themselves to a small minority. In Canada, articles on the Public Archives, which have been published in *Reader's Digest* and the national *Weekend Magazine* (a weekly supplement to several newspapers) reached an audience of approximately 2,000,000 people.

Radio is another medium which is not utilized extensively. In 1974, only Canada (440 minutes), Luxembourg (400 minutes) and Poland (225 minutes) reported significant radio coverage of archives. There is, however, an important potential interest if attention were directed to stories of popular interest in the Archives. There have been a few examples in Canada of single programs or series of talks based on such materials as pioneers' journals, ship's logs and early secret service records.

Television, of course, has the greatest potential impact on a large audience, but it is rarely used for publicity for archives. The Public Archives of Canada has arrangements with a local community television station for regular monthly 15 minute broadcasts concerning its activities; in addition, interviews on the national networks usually concern exhibitions, acquisitions and other events. There are examples of films on archives being shown on television in France and Luxembourg. Indirectly, however, the impact of archival material is much greater than these occasional programs bearing directly on archival institutions, since visual archives such as photographs and film are used extensively in historical programs and films which reach an audience of several millions.

ARCHIVES WEEK

An interesting example of the general promotion of archives is the "archives week" which is organized in Poland every five years. The aim is to acquaint the public with the role and function of archives, to foster awareness of the rich resources they preserve and to develop closer cooperation with administrative authorities, educational, scientific and cultural institutions in the country. In 1973, for example, open houses

at archives, conferences with journalists and educators, documentary films and colour slides in addition to attention by all the media, influenced a significant portion of the population. In Quebec, in 1976, the Association of Quebec Archivists organized, on a smaller scale, an "archives day". This concept has been adopted by the International Council on Archives and in 1978 an "archives week" will be declared in more than one hundred Member States.

EDUCATIONAL SERVICES

Probably the most important area for opportunity and challenge in the utilization and popularization of archives is that of educational services. If archival material can become an integral part of the teaching of history in schools and if it can stimulate a sense of personal identification as well as knowledge of the past, then the consciousness of cultural heritage will be increased significantly. The difficulties, however, are too great to justify excessive optimism at this time. The limitations imposed by the need to preserve unique materials, by the staff and facilities which are available at most archives, the problems involved in selection and the costs of producing suitable copies for uses in classrooms have prevented widespread use. But nearly every archives has been involved to some extent with educational services and in some cases they have become an established part of the educational system.

The services include visits to archives, guided tours, explanation of exhibitions, lectures using archival materials or slides, and the production of copies for use in teaching history in schools. In many countries visits are informal and irregular and a limited number of pupils is involved. In a few countries a structured service has been developed. France and Great Britain are probably the most prominent examples.

In France educational services were established at the Archives Nationales in 1950 and in the departments in 1951. A full time staff of teachers organizes instructional visits to the Musée de l'Histoire de France and provides commentaries and portfolios of reproductions. Similar services with part-time staff in cooperation with teachers are provided in most of the departments. Competitions are held and prizes awarded every year. The experience of the county records offices in Great Britain is equally interesting. A working group of the Society of Archivists has recently conducted a study of the educational use of archives. The replies to questionnaires and interviews with archivists and teachers have confirmed the value of archives in teaching history

and revealed the wide range of educational services in most repositories. The conclusions of the working group were that it should be a normal responsibility of archivists to develop educational services, that a distinct service should be established under an archive educational officer in each repository, that a close relationship with educational authorities should be maintained and that services should include a separate room with teaching materials, photocopying facilities, reproductions prepared in consultation with teachers and exhibitions.

In spite of the growing interest of archival institutions in the popularization of archival materials, it should be noted that the costs of the dissemination and popularization activities to which reference has been made do not exceed 5 per cent of the budget of any archival institutions.

* * *

The new active role of archival institutions as cultural agents must be considered in the perspective of the total value of archives and the responsibilities of archivists. A historian has said recently: "*C'est pour comprendre notre société, notre patrimoine, que nous devons faire appel aux documents sérieux du passé... C'est dans ces documents que nous serons libérés de l'anonymat.*"² To make this possible a higher priority must be given to the prevention of destruction which produces social amnesia, and also to the recapturing through oral history of knowledge which exists only in oral tradition in many parts of the world, and to the repatriation in some form of records which are an essential part of a national heritage. Provision must be made for the permanent conservation of as complete a record as possible, documentary, visual and oral, of all aspects of human experience and the accessibility of this record for the many purposes for which it is required. This can only be assured by increased awareness of and public support of archives and an appreciation of the value of their contribution to the community. It is apparent that a much more extensive use should be made of archival materials, whether they are in archives or other repositories, both for the practical value of the information they contain and for cultural purposes as a collective memory of shared experiences. The most extensive use will continue to be as sources for historical research, requiring selection, analysis and literary skills. The nature of selected archival materials, and the exciting quality which permits personal identification with the past is tantalizing. Direct access to archives by the public and particularly students in educational institutions presents serious problems because of the uniqueness, vast quantities

and fragility of the materials. But unlike artifacts, archives can be duplicated without serious loss of impact, and can be widely disseminated. The sharing of this precious inheritance with a larger proportion of every country and the global community is a major challenge to all those who believe in the importance of the preservation of a cultural heritage.

Notes

¹ René Maheu and Jean d'Ormesson, "Culture and Cultural Development in our Age: A Debate", *CULTURES*, Volume II, 2 (1975), pp. 15-42.

² Jacques Monet, "Notre patrimoine documenté" in Royal Society of Canada, *Preserving the Canadian Heritage / La préservation du patrimoine canadien* (Ottawa, 1975), pp. 119-122.

CONSERVATION

CONSERVATION OF RECORDS WITH PARTICULAR REFERENCE TO MALAYSIA

by

JOHN DAVIES

Introduction

Conservation of records in a tropical climate is often confronted with problems not usually encountered in temperate zones. These problems are in most cases attributed to environmental factors. It is an accepted fact that high average humidity values are normal everywhere in Southeast Asia. In Malaysia the relative humidity is persistently high in all parts of the country. For instance the daily relative humidity in West Malaysia ranges from 82 to 86 per cent rising up to nearly 90 per cent in the highlands. Temperatures for most of the months of the year for most places in lowland West Malaysia are between 78° and 82°F falling gradually in the early hours of the morning and rising steadily in the afternoon¹. The constantly high temperature and high relative humidity which are the characteristic features of the Malaysian climate are far from the optimum for conservation of records.

Humidity ranks first among all the agents harmful to records. The high proportion of water vapour in the atmosphere here makes it the direct or indirect cause of nearly all damage to records. The moisture in the atmosphere encourages the growth of bacteria and fungi and also of insects of various kinds including white ants (termites) which are dreaded by custodians of records in tropical countries as well as in the temperate zones. Excessive dryness on the other hand causes the destruction of paper, leather binding, etc.

Modern paper is particularly vulnerable to heat and light. Newspapers for instance, turn yellow and disintegrate even after a short exposure to light and heat. The wide fluctuations in relative humidity and temperature have equally harmful effects. The fibres expand and contract thus weakening the structure of the paper. The combination of heat and humidity are therefore the scourge of records in Malaysia.

Only a small portion of Malaysia's past records has survived the onslaught made by our climate. Much has been destroyed by fire, floods and war. One could not have done very much against such calamities. However the subsequent damage sustained by the records that escaped these disasters could have been prevented had a modicum of care been taken in their storage. Instead they have deteriorated to a deplorable extent due to ignorance on the part of the custodians. Consequently, much money and energy are now being expended to rehabilitate these records from their enemies such as the ravages of time, climate, insect pests, moulds and rodents, so as to make them available for research and reference.

Those charged with the responsibility for the care and maintenance of records must be familiar with the general aspect of document preservation and restoration. Some knowledge of the basic material of which paper is composed and an understanding of the underlying problems of conservation of records including the techniques that must be employed to combat the enemies of records, will be necessary. This paper has been prepared as a brief introduction to the guide and care of records. It outlines the main enemies facing the custodians of records and gives preventive measures which can be undertaken by anyone even under the most primitive conditions. It also gives some advice on first aid measures and minor repair of materials that have suffered from lack of proper care. The recommendations contained herein are the minimum required in establishing good storage conditions for the maintenance of records.

¹ Ooi Jin-Bee, *Land, People and Economy in Malaysia*, London, 1963, p. 43-47.

Paper

Paper is made largely from wood and rags with lesser amounts made from straw, bagasse and esparto grass. Although the type of fibre affects the physical properties, good paper can be made from almost any raw material. In practice, availability, demand and economy govern the choices of raw material and the kind of paper made from it. Paper of high quality is usually made from rags, while paper made from wood and other raw materials cover the complete spectrum of quality.

The mechanical strength of paper depends largely on the length and strength of the individual fibres, while the quality of the paper depends largely on the nature of the fibres. Some fibres become gelatinous in the beating process in paper-making and tend to give hard thin papers while others easily fray out at the ends and give an excellent interlocking action which yield strong tough papers.

All plant materials, in their natural state, except cotton, are impure forms of cellulose. They contain lignin and other non-cellulosic matter which may or may not be removed in paper making. If the wood is reduced by grinding, as it is done for mechanical wood pulp for manufacture of newsprints, the yield is high, and the lignin is retained but papers containing lignin are sensitive to light. Modern newspapers contain a high proportion of this crude ground wood fibre which accounts for its fast deterioration under adverse conditions of storage and use rather than quality paper. To produce an acceptable pulp, high grade new white rags require less drastic pre-treatment than does wood pulp or coloured rags. In order to make quality paper, lignin and other impurities in the pulp must be removed. To do this the wood is cooked by one of several pulping processes and bleached using chemicals which are acidic in nature. These treatments leave small amounts of acid in the pulp and as a result traces of acid are often present in the paper. Paper may also absorb acid from the air during storage.

A record paper should be chosen with due regard to its intended use. Records that are to have considerable handling should be on strong paper, free from ground wood or unbleached fibres and with an innocuous amount of acid in it. However, it will not be amiss to mention here that, under adverse conditions of use and storage, a high quality paper might disintegrate within a year, while under ideal conditions a ground wood paper might last a century.

Ink

In producing permanent records the ink too should be carefully selected as it is an important item to be considered in preservation. Some inks contain acid and they degrade the paper while some have a tendency to fade. Inks containing a high proportion of acid not only fade to a faint yellow colour in time but also tend to weaken the paper. Many old documents in the National Archives have been affected by acidic ink. The ink strokes have completely eaten away the paper. The dye base inks of many colours also fade with the passage of time without, in some cases, leaving any trace of the writing and if the document accidentally becomes wet or even damp the writing may become illegible due to spreading and smearing of the ink. Records require an ink containing a permanent pigment, of which the carbon-based inks are ideal. They do not fade, cannot be removed by chemical means and cause no damage to paper. However as most of our records are now typewritten the problem of ink is not so serious. The typewriter ribbon is made from a thin, tough textile fabric impregnated with an oily base carrying oil-soluble dyes or insoluble pigments. "The black pigment is usually some form of carbon and, for this reason, black ribbons and black stamp pads can always be relied upon for permanence".

² Langwell W. H., *The Conservation of Books and Documents*, London, 1957, p. 52.

Carbon and pencil copies do not fade. If they are subjected to extensive use, however, they become badly smudged. Most carbon papers are coated on one side with a mixture of finely divided graphite, waxes and oils and the modern pencils consist of compressed graphite which will not fade when exposed to light.

The inks used in printing, duplicating and multilithing are for most part, carbon inks, comprising of lampblack mixed with boiled linseed oil to form a suitable paste. Black printing inks are permanent and most coloured printing inks have good lasting qualities. The same cannot be said of spirit duplicator fluids, such as are used in hectographing. These are solutions of dyes and usually fade out in a relatively short time.

Causes of damage to records

The materials of which records are composed, namely paper, leather and adhesive used in bookbinding are adversely affected by light, excessive dry or damp air, excessive fluctuations in relative humidity associated with the wide variation in day and night temperatures, and the presence of sulphur dioxide in the air, dirt, dust, fungi, insects and rodents.

Light

The effect of light is most pronounced on paper containing ground wood such as newsprint, and those containing minimal amounts of iron, insufficiently purified cellulose, or considerable resin sizing. Direct sunlight and artificial sources high in ultraviolet rays should be avoided for all paper records. It has been reported that a post irradiation effect occurs in cellulose, which means degradation continues to occur in the dark after exposure to light. Sometimes the resulting deterioration may be visible, through the fading dyes or the browning of the paper but the paper may be affected without exhibiting any such signs. Where direct sunlight cannot otherwise be avoided all windows should be provided with opaque shades or heavy curtains which will largely cut off and diffuse the light, otherwise the papers should be stored in specially made containers. Cheap cardboard containers could provide adequate protection to records from the injurious effect of ultra violet rays. If the container becomes brittle after long exposure it should be replaced.

Variations in temperature and relative humidity

Paper, leather and the adhesives used in bookbindings suffer damage if dried beyond a certain point. Papers become yellow and brittle and extreme dryness is also responsible for the physical break-down of bookbindings, the bindings becoming damaged through desiccation of the glue. On the other hand excessively high humidity has the tendency to cause mould or mildew to grow on any material that can provide nutriment, such as paper, leather and glue. Dampness loosens paste and glue, soften and weakens paper and leather, and encourages the spreading of insects.

Excessive variations in temperature and relative humidity have an equally deleterious effect on paper. It results in the cellulose fibres expanding and contracting over and over again thus weakening them. The maintenance of a properly controlled temperature and relative humidity of the air in places where records are kept is therefore of considerable value in preserving them in good condition for a prolonged period. A temperature of 70° to 75°F with the relative humidity maintained a little below 55 per cent throughout has been found suitable for the preservation of records².

² Plumbe, W. J., *The Preservation of Books in Tropical and Sub-Tropical Countries*, Kuala Lumpur, 1964, p. 33.

Atmospheric pollution

Air pollution is usually a problem only in large cities and in industrial areas using sulphurous fuels. Mineral oils and coal may contain between 1 to 2 per cent sulphur. These oxidize easily forming sulphur and finally sulphuric acid, with which are deposited fine particles mainly of soot⁴. However sulphur dioxide even at a higher concentration than is normally found in air, is not by itself harmful to paper or bookbinding materials, but when they contain small amounts of iron or copper—as is almost always the case with paper . . . these have the power to change the innocuous sulphur dioxide into the highly destructive sulphuric acid which may accumulate in paper until it reaches about 1 per cent. At this point it will rapidly destroy the fibrous structure of the paper and cause it to become brittle⁵. Air pollution is therefore an important factor which need to be considered only when there is need for long term storage. There is no ready means of preventing access of sulphurous gases save by air-conditioning.

Mould

The problem of fungus attack on records and related materials is particularly serious in the tropics. The number of fungoid species designated "Paper attacking" is about one hundred⁶. These are commonly known as mould or mildew. Fungi are plant organisms that reproduce by means of minute spores. The damage to records and related material is attributed to the microbial spores in the air and dust in storage areas. The spores are always present in the atmosphere and they settle down on objects where conditions are favourable for their growth.

Mould tend to grow on documents and books if the relative humidity of the atmosphere remains at about 75 per cent for even a short period⁷. Its growth occurs more frequently on books which are tightly packed one against another and this is due to the fact that a thin, stagnant pocket of moist air is formed which favours the growth. Books should not be shelved tightly packed together to ensure adequate air circulation. This will reduce the formation of mould.

Stagnant air combined with high humidity tends to accelerate the growth of mould. Fresh air circulation in the storage area is necessary to renew the air and also prevent the spores from settling down on books and documents. The formation of mould is not likely to occur in storage areas where the relative humidity is kept a little below 55% and an air temperature of 70° to 75° F is maintained throughout. It will be necessary, however, to resort to air-conditioning in order to obtain such a standard in storage areas, but partial control of humidity is possible through dehumidifying units or dehydrating agents of which silica gel is an example. A simple home-made unit can be constructed by making holders out of wire-netting and filling these with the silica gel and kept in different places in the room. In calculating the amount of silica gel required it may be assumed that 7 lbs. will be sufficient to dehumidify a room of 1,000 cubic feet⁸. When the silica gel is saturated with moisture, its colour changes from blue to pink. The silica gel can then be reactivated by heating in an oven and reused. Another convenient method is to have the storage area sprayed with fungicides by means of an ordinary spray pump. Again a home-made 10 per cent solution of thymol in methylated spirit (1:10 by volume) will prevent the growth of mould. Thymol vapours are pungent and therefore it is advisable to spray the solution at the end of the day so that the room and windows can be kept closed overnight⁹.

⁴ Coremans, P., "Climate and Microclimate", in *The Conservation of Cultural Property, With Special Reference to Tropical Conditions*, Paris, 1968, p. 34.

⁵ Langwell, W. G., *op. cit.*, p. 21.

⁶ Gallo, Fausta, Biological Agents Which Damage Paper Materials in Libraries and Archives, in Thomson G., (ed.), *Recent Advances In Conservation*, London, 1963, p. 57.

⁷ Minoque, A. E., *Care and preservation of records*, Washington, U.S. Government Printing Office, 1943. (Technical Bulletin No. 5) p. 11.

⁸ Plumbe, W. J., *op. cit.*, p. 34.

⁹ Bhargava, K. D., *Repair and Preservation of Records*, New Delhi, 1967, p. 6.

The attack of mould on records is revealed by the formation of white patches which later turn into different colours of yellow, rose, greenish-yellow, black, etc. In some cases the mould grows in the paper without displaying any of its characteristic signs except as a slight brown patch, until such time when the paper becomes brittle. Moreover, mould or fungi can exercise a mechanical action on paper, since their hypha may filtrate between fibres of the paper without actually entering them or else the fruit bodies of the fungi are covered with bristles which infiltrate between one leaf and another, in both cases welding the various pages together¹⁰. It also stains paper. This is technically known as "foxing".

If records become infected by mould, measures must be taken immediately to deal with the outbreak. The infected material should be removed out into the open air and the mould brushed off with soft cotton wool taking care not to scatter the spores in the process of cleaning. Where the infection is considerable the affected material must be fumigated using thymol. Thymol fumigation is simple and can be carried out by anyone without much training. A satisfactory apparatus for thymol fumigation can be made by adapting an air-tight box or cupboard. The infected records are supported some 6 inches from the bottom on a frame work of wire net. A 40-60 watt electric lamp is installed at the base of the cupboard or box over which a dish containing thymol is heated. The thymol gas destroys the mould growth on the records within the box or cupboard.

Dust

Harm from dust is another factor to be considered in relation to preservation of records. Small particles of sand and soot are carried into the storage areas by the passing wind and these settle down on records, storage racks and floor. An accumulation of these in places where humidity is also high not only favours the growth of mould and insect pest but also serves as nucleus for acid vapour. Besides, dust contains tiny hard siliceous particles, which can cut paper and leather. It is also unhygienic for people to handle the records in dusty surroundings as the dust may also contain bacteria harmful to human beings. It is necessary therefore to institute regular dusting of records in storage areas. Dusting with feather dusters and cloth usually makes the dust float in the room and is quite unsatisfactory. Vacuum cleaners should be used for efficient removal of dust and loose dirt from the storage area.

Insects

The earliest recorded instances of insects attacking books and related materials date back to almost 2,000 years ago. The protection of stored records from the depredation of insect pests has been a problem ever since, and the havoc wrought on books, prints and manuscripts is acknowledged by all custodians of records. Papers and bound volumes of books are attractive to insect pests because of the food value they offer. The cellulose in paper itself, glue, gelatin, paste and similar products used in the finishing of the paper and the binding are included among the variety of foodstuff and materials they relish.

Cockroaches, silverfish, book-lice and brown house moths are largely responsible for damage to binding materials such as pastes and glues, and they may also attack leather and other animal and plant materials. Insects such as beetles and termites are capable of actually consuming paper as food materials and they also attack cotton binding cloths and wooden or paper binding boards. They are, therefore, responsible for the most serious damage to records including damage the wooden

¹⁰ Gallo, F., *op. cit.*, p. 58.

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shelving as well. The digestive processes of these pests are said to be specially modified to digest cellulose. Some of the more common insects found among records have been listed below according to the type of damage they are likely to cause:

(a) *Cockroaches*

There are several species of cockroaches, but the so called domestic species feed on a great variety of materials. They are particularly attracted by sweetened and starchy materials and they eat through book-cloths in order to get at the starch adhesive used to stick the cloth to the binding board. Apart from destroying the surface of book covers, they also suck the dyes and coating off cloth or buckram and thereby breaking up the edges to a pulpy mess. During the day they normally retire to dark and damp corners and at night roam all over in search of food. They proliferate in drains and latrines and enter premises through drain pipes and small holes in the walls.

(b) *Silverfish*

These are frequently found among old books and documents and they show a particular predilection for bleached wood-pulp paper, flour-paste, photographic gelatine and some types of textile fibres¹¹. They penetrate books through the back to get at the flour-paste. On paper documents they cause erosions of irregular shape. Silverfish are fast moving creatures which feed mainly at night and hide during the day. They find ideal conditions for growth and reproduction in warm and humid storage places.

(c) *Book-lice*

Book-lice or psocids are occasionally found crawling over the backings or between the pages of books. They feed on flour-paste and paper. Their damage to books therefore is limited to the parts of the binding close to the spine where the adhesive is more abundant. In general they are not considered to do any real harm to books or papers. Their diet includes also microscopic moulds formed on book-bindings, paper and leather, and are therefore prevalent under damp conditions which favour the growth of moulds. They rarely occur in well-lit and ventilated surroundings or in books used daily.

(d) *Brown-House Moths*

The larvae of the brown house moths have biting mouth parts and eat a wide range of materials besides books including dried plants and corks. Their attack on books however is usually confined to the spine and they rarely bore through the book. Dampness in storage areas favours development of this specie.

(e) *Beetles*

There are several different species of beetles. The adults lay eggs on the edges of books from which are hatched small white larvae which burrow into the books producing the well known tunnels of "book-worms". The larvae feed on pastes portions of the book initially until their mandibles are strong enough to commence feeding on the actual binding, which is continued until the pupal stage when they then become beetles, and the whole process is then repeated.

(f) *Termites*

Commonly known as white ants, termites are capable of complete destruction of books or any cellulosic material but usually commence their attack on the building. Termites live in communities in nests in the ground or in the depth of walls. Having a marked aversion to light they construct mud-covered runways over bricks and concrete and work in concealment. They devour

¹¹ Gallo, F., *op. cit.*, p. 55.

rapidly and silently all that is composed of cellulose, digging out intricate communication trenches, and in some cases causing the almost total destruction of the material attacked, leaving intact an external skin which hides the devastation underneath. The infestation of this specie is usually detected only when their infestation has become severe and considerable damage has been done.

Preventive measures

The damage to records from winged insects like beetles rarely occurs in air-conditioned storage areas which are more or less hermetically closed or in storage areas which are protected by wire mesh window screens and fast closing flap-doors at their entrances.

We have noted that dirt and dust and an accumulation of debris, however slight, are breeding grounds for insect pests. Storage areas should therefore be frequently cleaned and all records, shelves, cabinets, floors, ceilings and walls should be kept neat and tidy. The use of insect-repellent chemicals like naphthalene and paradichlorobenzene, will deter the insects from getting at the records. A liberal supply of either one of these chemicals placed in bowls and located every six feet on shelves should be sufficient to give off an odour strong enough to keep the insects away. In addition a reasonably high degree of protection can be secured by spraying the storage area once a month, with insecticide mixtures containing such chemicals as dichlorodiethyl trichloroethane (DDT), pyrethrum, or gama benzene hexachloride. These are available commercially and ready for use under various trade names. Mixtures may also be prepared by using D.D.T. dissolved in kerosene in the proportion of 40g per litre¹⁴. The mixture then may be sprayed with an ordinary hand spray pump. Care must be taken to ensure that the spray is directed to the walls, dark corners and crevices, but not to the records. Sprays usually contain solvents and these are capable of affecting the dyes used in binding cloth and ink on documents.

Where insect infestation has assumed great proportions large scale fumigation of the infected materials is necessary. The materials to be treated need to be placed in a special chamber with fumigants like Methyl Bromide or Ethylene-oxide-carbon dioxide for extermination of the insects completely. Such fumigation processes should only be carried out by licensed operators because of the highly toxic nature of the chemicals. However for small collection of records, a simple method of fumigation with paradichlorobenzene is used. An air-tight box filled with this chemical is effective and satisfactory results can be obtained if the container is replenished with the chemical as it evaporates and the records left within the box for at least a fortnight. The quantity of paradichlorobenzene should be about 2 lbs. for every cubic feet of air space. This process will kill only the insects and their larvae but not their eggs. Consequently it will be necessary to segregate the records and repeat the process after the lapse of a fortnight to remove the infestation completely.

Although the chemicals used for fumigation of records are poisonous, they do not have a continuous effect on insect pests. It is necessary therefore to return the fumigated records to clean receptacles and to use repellents like paradichlorobenzene or naphthalene in storage racks as described above to ward off insect approach and prevent reinfestation.

A special caution with regard to fumigants may here be interpolated. Fumes from any of the toxic agents employed in fumigation should never be inhaled. This also applies to volatile solids which might be used as fumigants, such as

¹⁴ Werner, A. E., "The Conservation of Leather, Wood, Bone and Ivory, and Archival Materials", in *The Conservation of Cultural Property*, op. cit., p. 283.

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paradichlorobenzene and thymols. They may also be severely irritating to the mucous membranes, the eyes, or to the skin, particularly when the climate is moist and humid and one perspires¹³.

Rodents

Rats and mice enter storage areas through holes in the ceilings and walls and devour papers and leather with incredible speed. It will be necessary to ensure that faulty ceilings and walls are repaired promptly so as to prevent their access into storage areas.

Accommodation

An ideal records storage area is a room without windows, fire-resistant, air-conditioned and lighted with bulbs of low wattage. Where such a room is difficult to come by in existing buildings, the accommodation chosen for records should be at least dry, weather-proof, adequately lighted and ventilated. The doors and windows if any, should be protected with frames of mesh wire-netting. Direct sunlight on stored records must be avoided. There should be no possibility of flooding from burst tanks or blocked gutters or drains and preferably no water-pipes running through the rooms.

Equipment

Records should be stored on metal rack or in metal cabinet or cupboard. Open steel racks of the adjustable type is preferable to closed cabinet or cupboard as it permits adjustment of the shelves to suit the size and bulk of the records. The racks should be stacked and arranged to stand clear of the walls. The bottom shelves in all bays should be at least 6 inches from the floor. Storage racks arranged in this manner not only allow free circulation of air but facilitate cleaning operations to be carried out in the store.

Where wooden rack, almirah or bookcase is used additional care would become necessary as wood itself requires attention and chemical treatment against insect-pests like termites and wood-borers. The rack, bookcase or almirah should be kept away from the walls and they should be stood upon metal sheets since termites will not cross metal¹⁴. Alternately the legs of almirah, rack or bookcase should be placed in bowls or tins containing coaltar or creosote oil. This will raise a chemical barrier and protect the records from insects. As a precautionary measure the entire wooden structure may also be painted with 20% zinc chloride solution in water¹⁵.

Maps, plans and oversized records need special care in storage. Small maps and plans stored flat in ordinary plan filing cabinet or hung in verticle plan filing cabinet is desirable but they may also be rolled and kept on shelves securely wrapped with strong papers. Large or oversized maps and plans must be kept in rolls, which should be covered with strong wrappers and stored on shelves.

Files are best kept in storage boxes and stacked on racks. Cardboard storage boxes of the type used by the National Archives of Malaysia are ideal for this purpose. A drawing of the storage box is given in *Appendix A*. A batch of files measuring about 6 inches in thickness can be conveniently placed in each box and arranged neatly on shelves. Each box may be affixed with a label outside showing its contents for easy identification and retrieval.

¹³ Hodges, H.W.M., "Basic Equipment and Processes", in *The Conservation of Cultural Property*, *op. cit.*, p. 86.

¹⁴ Plumbe, W. J., *op. cit.*, p. 20.

¹⁵ Bhargava, K. D., *op. cit.*, p. 10.

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Bound volumes of books should be shelved upright on shelves. Shelving the books vertically saves space and at the same time facilitates retrieval. However, the weight of the paper in a book shelved upright pulls away from the spine of the book and it is essential therefore that books should be supported by one another on shelves reasonably fitted, or by means of book supports or book-ends. However, large and oversized volumes should be shelved flat on their sides.

Fire-fighting equipment, preferably "foam" fire extinguishers and asbestos blankets should be installed in records storage places. Every person working in the repository should know what fire-fighting equipment is available, where it is kept and where and when to use them. The fire-brigade should always be consulted to supervise the installation of these equipment and also to provide instructions in their use to the staff of a record office. Some of the important points with regards to fire-fighting worth keeping in mind are¹⁸:

1. A fire in a container is most easily quenched by covering the container.
2. A fire on a table or bench is most easily quenched by covering with an asbestos blanket.
3. A person whose clothing has caught on fire should be wrapped in an asbestos blanket.
4. A jet of water directed against burning organic solvents is more likely to spread the fire than to put it out.
5. Wide spread fire can be quenched with "foam".
6. If a fire is not quickly quenched, ring the alarm.

A vacuum cleaner may be an asset to a record office for removing dust and loose dirt from records. Chemicals and combustible materials should not be stored in record repositories. Smoking and consumption of food within the repository should be strictly prohibited and any type of open fire should also be forbidden.

First Aid For Damaged Documents—Minor Repairs

Records should be cleaned before being put away. Corrosive metal clips and pins should be removed and replaced by non-rusting brass or plastic clips. Where the corners of documents have been "dog-eared" they should be lifted and flattened. Loose enclosures should be re-inserted in their correct order. The records affected by damp may be dried off in a good current of air but those affected by mildew or insect-pest, which spread rapidly, should be segregated and treated as outlined earlier in this guide. Similarly any small tear in documents should be mended promptly to avoid it from tearing further into the writings or prints during subsequent handling and use.

Torn pages

Minor tears in documents may be mended without any great training in document restoration. Where a tear in the edge of a document or a page in a book is noted all that is needed is a piece of tough but thin paper. Cut a strip of paper of about $\frac{1}{4}$ inch wide which should be a little longer than the tear. Cover the strip with paste and then lay it carefully on the paper over the tear, making sure that both edges of the tear have been brought together evenly. The strip should project slightly beyond the tear on the sound side of the document and slightly beyond the edge also; finally trim the over-hang along the edge with a pair of scissors to complete the repair.

¹⁸ Hodges, H.W.M., *op. cit.*, p. 87.

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When the tear extends into the prints in documents with prints or writings on both sides its mending is a little difficult but with a little care and patience one could mend it quite satisfactorily. The process is as follows: put a small bit of paste on the torn edges in the document and place them together. Then place a strip of soft tissue paper over the tear and rub it gently in a way to make the tissue adhere to the torn edges. After that put the document under weight until it is dry. Tear off the superfluous tissue, taking care always to pull toward the tear from both sides. The soft fibres of the tissue not only act as a binder but fill holes if any within the tear and give an even surface all round. When the work has been completed it is almost impossible to see how the mend has been done.

Pressure-Sensitive Tapes

These tapes should never be used to repair documents. They are thin, transparent viscose (cellophane) ribbons with a permanently tacky adhesive on one side. They stick with great tenacity to almost anything solid immediately on contact. The problem then arises as to how to remove them without at the same time removing the surface of the paper. Furthermore they tend to yellow the treated material, stain and obscure the writing beneath them. The adhesive may finally decompose and damage the paper. Similarly glue and arabic gum should not be used to repair documents. They tend to harden in time and the horny surface will have abrasive action on paper documents.

Paste making

In general it will be simplest to buy the paste on sale by any reliable stationer or dealer in library or book-binding supplies. However paste may be made out of flour and water. It may be made in any convenient bowl by gradually adding water to about half a cup of flour and stirring constantly until the water and flour are blended, all the lumps smoothed out, and the mixture becomes gravy like. Then add boiling water, put on fire, and bring the mass to boil for about one minute, stirring constantly. If it becomes too thick, add sufficient hot water to bring it to a proper consistency. It should not run so freely as milk, should not be lumpy, should not be still as to fail to run from the brush with moderate ease. Starch may be used instead of flour.

In using paste it must be remembered that the less you use the better. The normal tendency is to use too much. A thin coat of any adhesive evenly spread and firmly pressed into the pores of the documents to be joined will hold the sheets securely.

Water soaked records

Water is used at many stages of the manufacture of paper but once paper is made available for use water becomes its dangerous enemy. Records are damaged by water in various ways: the covers of books and bound volumes are wrapped, swollen and stained, documents and pages wrinkled and creased. Heavily sized paper, coated with starch or glue or clay, is ruined by contact with water. The size, softened by the water, causes the pages to stick to one another, and if they dry in this state the book or the bundle of papers is a solid mass. It is difficult to separate them without specialised training, expensive materials and equipment. Badly damaged records should be sent over to professionals for treatment.

First aid treatment can be applied however before professional assistance can be obtained. This should be done, immediately after the discovery in order to avoid decay and attack by mildew. After squeezing out the water from the bundles or files, they should be spread open inside a room under a fan. Wet

paper should be separated from one another. The individual leaves should be interleaved with blotting paper or wax paper and pressed to squeeze out any residual water. They should then be allowed to dry in a room under a fan or where fans are not available the windows should be kept open for free circulation of the air. The documents should be turned often in such a way as to get every portion exposed to air. The affected records may be dried by spreading on tables or hung over cords. After the drying they should be kept under pressure.

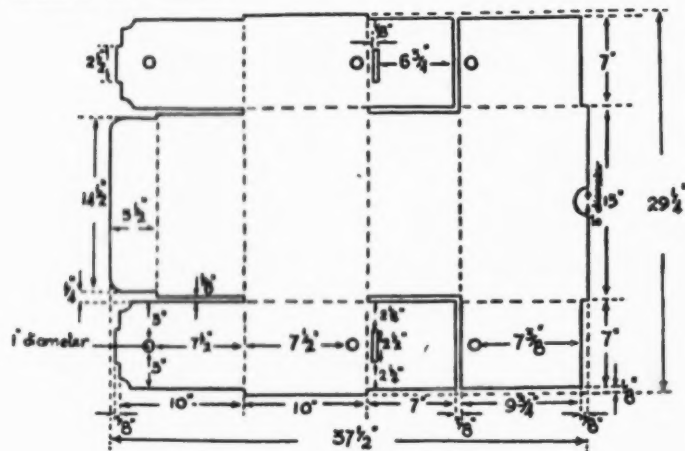
Rehabilitation of charred documents

When paper documents have been seriously damaged by flame, or by any other means and have become carbonised or charred, their treatment is a matter for an expert. They should, if possible, be protected by loose wrapping of tissue paper and enclosed in boxes.

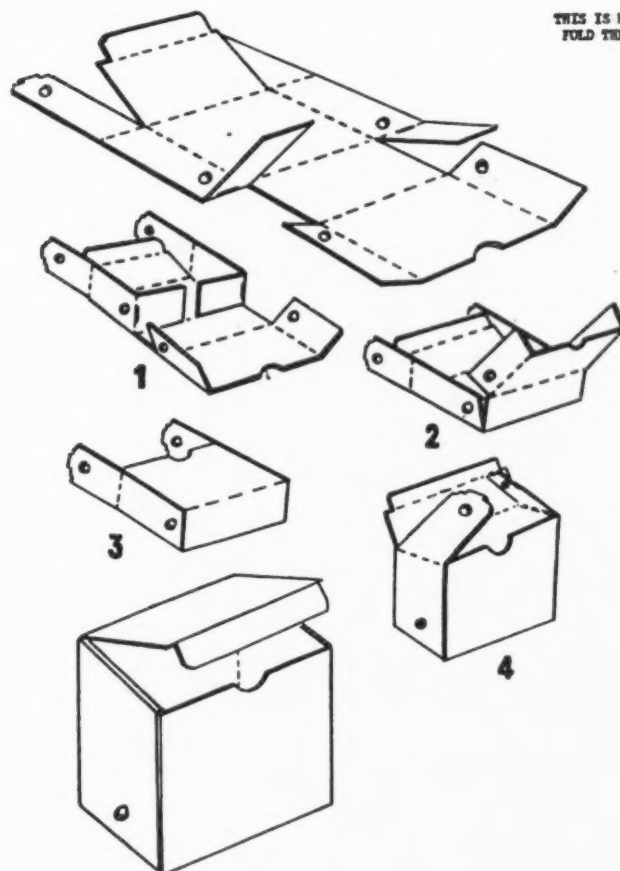
When they have been merely subjected to intense heat they will probably be brittle and should not be handled more than can be helped until they have had time to re-absorb a normal amount of moisture from the atmosphere. If after some time they still seem brittle they may require re-sizing and this again will be a matter for an expert.

Where an iron (and more or less air-proof) safe has been in the midst of a conflagration, there is often a chance that a large proportion of the documents contained in it, especially paper ones, though excessively hot, may be relatively undamaged; but there is also a strong chance that any inrush of fresh air would produce active combustion. Generally, therefore, a safe in such cases should be allowed to cool before it is opened.

DRAWING OF THE STORAGE BOX



THIS IS HOW YOU
FOLD THE BOX



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BUILDINGS AND EQUIPMENT FOR ARCHIVES IN TROPICAL COUNTRIES

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I. INTRODUCTION

'Tropical countries' are words used rather vaguely. They are commonly applied not only to regions which are properly tropical but also to equatorial and sub-tropical zones, as well as generally to all parts of the world which have a hot and humid climate, either all the year round or seasonally ¹.

The term 'tropical countries' therefore covers regions which from a geographical point of view are very different, and are scattered throughout Africa, Asia, Oceania and America ; while Europe is wholly in the climatic zone known as temperate. The whole of the West Indies (the Caribbean) is part of the tropical areas.

For several reasons this type of climate produces extremely bad conditions for the preservation of archives and for the buildings themselves :

-- excessive heat and humidity directly affect adhesives, organic materials (particularly cellulose fibres, leather and parchment), inks, metallic objects such as paper fasteners, pins, etc., and in general all materials of which documents and buildings are composed ;

-- excessive sunlight (ultra-violent rays) act on cellulose, inks and on all colour pigments ;

-- heat and humidity produce conditions favourable to the rapid growth of fungi (mould) ;

-- heat and humidity encourage the rapid increase in the number of insects and rodents.

Moreover, in some tropical areas, particularly in the West Indies, there are other hazards which threaten the safety of archives :

-- cyclones, floods and tidal waves ;

-- earthquakes and volcanic eruptions.

¹ In this article, which is intended for readers in the West Indies, it has not been thought necessary to deal with problems peculiar to the arid climates of deserts and sub-deserts.

For all these reasons, if buildings to be used for the storage of archives in tropical countries are to offer the greatest possible degree of safety for the documents, they must be different in several respects from archive buildings in temperate countries.

In those parts of the building used by archives staff or searchers, as well as in other parts of the building which are open to the public, it is also necessary to provide an environment which is appropriate to the climate.

Finally, there must be technical equipment not only for use in protecting documents against the various agents of destruction but also for repairing damaged documents.

The characteristics of archival buildings and equipment in tropical countries are determined by all these considerations, both architectural and technical.

This present article is solely concerned with the construction and equipment of archive buildings in tropical countries. For more general aspects of construction and equipment, the reader is referred to the basic works on the subject ¹.

II. GENERAL ASPECTS OF THE EFFECTS OF CLIMATE ON THE CONSERVATION OF DOCUMENTS

Humidity and heat act on the substances of which documents are made both by causing internal disintegration (physical and chemical action) and by providing favourable conditions for the growth of fungus and insects (biological action).

Either heat or humidity alone would be dangerous enough, but together they are particularly harmful ; and the effects of varying proportions of these two factors have been studied in the laboratory ².

¹ Basic bibliography : Y. Pérotin et al., *Manuel d'archivistique tropicale/Manual of Tropical Archivology*, Paris, The Hague, 1966 ; G.M. and D.G. Cunha, *Conservation of Library Materials*, New York, 1967 ; M. Duchein, *Archive Buildings and Equipment*, Munich, 1977 ; F. Flieder, *La conservation des documents graphiques*, Paris, 1969 ; O. H. Koenigsberger, T.G. Ingersoll, A. Mayhew, S.V. Szokolay, *Manual of Tropical Housing and Building*, I, London, 1974.

² See particularly A. Noblecourt, *Protection of Cultural Property in the Event of Armed Conflict*, Paris, Unesco, 1958,

The saturation point of air (the dew point) is higher as the temperature rises. The quantity of water vapour which one cubic metre of air can hold is 8 gr. at 10°, 15 gr. at 20° and 48 gr. at 40°. When the temperature falls the saturation point is also lower, causing condensation. Such reduction of temperature is only of interest from the point of view of document conservation if it is accompanied by a drying of the air, which reduces the rate of relative humidity (the relative humidity, or RH, is the ratio between the weight of water vapour contained in a cubic metre of air and the maximum weight of water vapour which this volume of air could contain at the same temperature).

We know that most tropical countries have high temperatures and a high humidity. At Fort-de-France (Martinique) the mean annual temperature is 25.3°C (23.5°C in January ; 26.7°C in July), and the average relative humidity is 80% (70% in February, 84% in October-November). Other tropical zones have more marked seasonal variations (for example in countries with a monsoon), but the annual averages are still always high. By comparison, the average temperature in Paris is 10.2°C and the average relative humidity is 74% ; in Rome these figures are 15.6°C and 63% respectively. The best climatic conditions for the storage of documents have been the subject of a number of technical studies with conflicting results. The optimum relative humidity is put by some writers at between 45% and 60%, and by others at between 55% and 65% ; similarly the optimum temperature is variously put between 15° and 22°C or 15° and 18°C ¹. Whatever the ideal conditions may be - and some margin is certainly acceptable - the following rules are indisputable :

-- a relative humidity higher than 65% is harmful to paper, leather, glues and inks ;

-- a relative humidity lower than 45% makes paper, parchment, wood, glue and leather too dry ;

-- microfilms and black and white photographic negatives require a fairly low relative humidity (40-50%) and a temperature lower than 20°C ².

Considered together, these facts show that the storage of documents in tropical countries requires the introduction of methods of drying and cooling the ambient air ; and that, unless this requirement is met, chemical and biological action will cause rapid deterioration in the condition of the documents. Moreover, while

¹ See F. Flieder, *La conservation des documents graphiques*, p.37 ; H.J. Plenderleith and P. Philippot, *Climatology and Conservation in Museums*, in *Museum*, XIII-4, 1960, p.214.

² Storage conditions for records on magnetic tape are even more strict and require a technical study by experts.

the atmosphere in tropical regions is often less chemically polluted than in the industrial parts of the temperate zones, the high degree of salinity of the atmosphere around islands, which is made worse by high winds, presents an additional hazard to document conservation.

This question of heat and humidity is fundamental for archive storage in tropical countries ; and the requirements discussed in the remainder of this article are mostly related to that problem.

III. CLIMATIC CONDITIONS FOR THE SPREAD OF FUNGI, BACTERIA AND INSECTS IN TROPICAL COUNTRIES

It is not proposed to give here a list of all the fungi, bacteria and insects which attack documents in tropical countries ; a great deal of information on this subject will be found in the various works on the conservation of archives and library material.

Reference is made only to the conclusions of those studies on the subject which are concerned with the effect of climatic conditions on the growth of these pests. Fungi grow when the temperature is higher than 22°C and the relative humidity is above 65% ; and they particularly like dark and airless places. Most of the insects which attack paper do not like daylight either, preferring places which are damp, warm and dark.

Termites, which are particularly likely to cause damage in tropical countries ¹, live (according to which of the 900 species they belong) in the soil, in wood, in paper, and everywhere warmth, darkness and stagnant air is associated with the presence of a cellulose material which can provide them with food.

IV. SUNLIGHT AND THE STORAGE OF ARCHIVES

Sunlight (and to a lesser extent moonlight) is made up of blue, violet and ultra-violet rays in varying proportions, whose ability

¹ Y. Pérotin, *Le problème des termites...aux Archives de la Réunion*, Saint-Denis-de-la-Réunion, 1953 ; F. Grassé, *Archive-destroying termites*, in *Manual of Tropical Archivology*, 1966.

to damage documents has been studied frequently and is well known ¹.

The light in tropical countries, owing to the height of the sun above the horizon and the high degree of ozonisation, is particularly rich in such rays. This is a fact well known to photographers, who have to use filters and screens to prevent over-exposure.

However, we must not overlook the fact that ultra-violet rays in the lower part of the spectrum (below 300 millimicrons) are a powerful germicide and fungicide. For this reason it is dangerous to exclude them completely from archive buildings. Sunlight also plays an important part in the fight against termites and other insects which thrive in darkness.

V. GENERAL PRINCIPLES OF ARCHIVE BUILDINGS IN TROPICAL COUNTRIES : THEIR SITE AND ORIENTATION

The role of an archives service in a tropical country is no different from that in a temperate country. Seven basic functions have to be performed everywhere :

- reception of documents,
- appraisal, arrangement and description of documents,
- storage of documents,
- repair of damaged documents,
- making documents available to users,
- photography/microfilming of documents,
- exhibition of documents (possibly).

To these can be added an eighth function : the destruction of documents considered to have no historical value.

In principle therefore the plan for an archives building is the same in a tropical country as in a temperate country. However, the climatic constraints mentioned above give rise to special considerations in the design of the building and in the choice of its site and orientation.

(a) Dangerous and unhealthy sites will be avoided : those liable to flooding or which are swampy, those near the sea (risks of tidal waves and tempests), those which slope too steeply or present a risk of landslide, those subject to the threat of volcanic eruption, or those infested by termites. In whatever climate, places where there are obvious hazards, such as chemical factories, explosive stores or strategic targets, should of course be avoided.

¹ M. Duchein, *La protection des documents d'archives contre la lumière*, in *Bulletin d'information sur la pathologie des documents*, I, Paris, 1961 ; G.M. and D.G. Cunha, *Conservation of Library Materials*, I, appendix P.

(b) As far as possible, archive buildings will be situated in areas sheltered from winds carrying damp and salt air, and the building will be orientated in a way which protects it from such winds.

(c) The method of construction will be chosen to ensure the best possible protection against rain and water in the soil, as well as to give the maximum amount of air circulation.

(d) Materials which are good conductors of heat or are susceptible to damage from humidity, fungi or insects (particularly termites) will be avoided.

(e) The best possible protection against excess sunlight will be provided.

(f) Special arrangements must be made as necessary to give protection against ants, earthquakes and cyclones (see below, Section VI (e), (f) and (g)).

(g) To facilitate fire-fighting and possibly disinfection of the building, a determined attempt will be made to keep the dimensions of rooms where documents are kept as small as possible (200m² maximum).

VI. MATERIALS AND METHODS OF CONSTRUCTION : GENERAL POINTS

The several points made below are intended to draw the attention of architects to a few essential matters which apply specially to buildings in tropical countries ; it is assumed that in general construction materials will be chosen with the purpose of giving the best protection against climatic conditions and earth tremors.

(a) FOUNDATIONS

It is strongly recommended that the ground floor should be raised up on concrete pillars to allow air to circulate between ground level and the ground floor. The advantages of this are :

- protection against dampness in the soil,
- protection against flooding,
- protection against termites.

In no circumstances will documents be stored underground.

For foundations of buildings in earthquake zones, see below (e).

(b) WALLS AND ROOFS

Walls and roofs must be designed to give the greatest degree of insulation against heat and dampness ; and the choice of materials and facings must therefore be confined to those which are heat-insulating and damp-resistant.

Special care will be taken to ensure that roofs can resist very strong winds (cyclones) and tropical rains ; the surfacing materials (slates, slabs of asbestos-cement, aluminium) must be securely fastened. It is not advisable to have flat roofs which are more prone to leakage in the event of heavy rain.

To protect the building against rain and sun, overhanging roofs forming a canopy are traditionally used in tropical countries, with balconies or galleries making a screen in front of the glazed facade. This is a very good way of designing the building in every respect, except perhaps that there is a greater risk of burglary.

An excellent protection against heat is achieved by a double roof with an air-gap between ; but it is necessary to take care that such a solution does not weaken the structure, particularly in the light of the need to provide protection against cyclones. When this solution is not available, it is recommended that there should at least be an insulating layer under the roof.

Wood used in the structure should be specially treated for protection against termites.

Metal components which are exposed to the open air, particularly in a sea-side district, should be given special anti-corrosion treatment ¹.

(c) FRAMEWORK AND SHELVING

For almost half a century it has been standard practice to build archive repositories with a metal self-supporting structure in which the supports for the racking also support the floors. This would apply equally to a building in tropical countries, but it would then be necessary to ensure that the metal structure and racking were suitably treated against rust and corrosion from salt (see above (b)).

However, such a supporting structure made of metal is not advised in an earthquake zone if it is necessary to build on more than two or three levels. In every case the construction must

¹ A. Delrieu, *La tropicalisation*, Paris, 1974, which deals particularly with this question of metal corrosion in tropical countries.

accord with the building requirements for an earthquake zone (see below (e)) so as to avoid collapse in the event of earth tremors.

(d) OPENINGS (doors and windows)

Openings must have protection against the effects of the sun and against cyclones ; the exterior gallery or balcony (see above (b)) is excellent for this purpose. Shutters or blinds are equally essential.

Glass which filters light (inactinic) and insulates from heat is recommended for windows in living and working areas.

(e) SPECIAL PRECAUTIONS AGAINST EARTHQUAKES

In an earthquake zone, construction must conform with a number of technical requirements set out in specialist publications ¹. The main requirements are as follows :

- solid foundations sunk deep in the ground and reinforced by steel rods, with ties forming a strong bond between foundations and super-structure ;
- walls tied vertically and horizontally ;
- solid floors and staircases secured to the framework of the building or tied to the reinforcing rods in the walls ;
- special arrangements for openings (solid door frames secured to the framework or to the reinforcing rods in the walls), and pipes ;
- the division of buildings with a complicated plan into rectangular blocks with shear or expansion joints.

Generally speaking, the following should be avoided in earthquake zones :

- high buildings ;
- fragile building materials which are not shock-resistant ;
- light structures which are likely to break up in the event of an earth tremor.

(f) SPECIAL PRECAUTIONS AGAINST CYCLONES AND TROPICAL RAIN-STORMS

See above for some remarks about roofs and openings. Care should be taken to see that gutters and downpipes are in perfect condition, and that storm-water can run away quickly.

(g) SPECIAL PRECAUTIONS AGAINST TERMITES

There should be no trees or flower beds up against the building. Tree stumps should be rooted out in the widest possible radius

¹ See *Règles parasismiques*, Paris, Société de diffusion des techniques du bâtiment et des travaux publics, 9 rue la Pérouse, 1970.

round the building. The building should be surrounded by an area of bare concrete which can be inspected easily. In regions which are very infested with termites, the building should be surrounded by a ditch with vertical sides, 1 m wide and 1.5 m deep.

If possible the building should be raised up on concrete piles (see above (a)). The piles should be fitted with anti-termite shields or metal flanges to prevent the termites from climbing up them. The same protection is required for drains.

All wooden components should be specially treated against termites with products based on pentachlorophenol. Special coatings with a base of salts of Wolman (fluorine, chrome and dinitrophenol) or of pentachlorophenol can be applied to walls and floors, provided they do not come into contact with documents.

VII. AIR-CONDITIONING, VENTILATION AND AIR FILTRATION

In the past fifteen or twenty years, it has become common practice to provide air-conditioning in premises which are to be used for storing archives and library material, as well as in working and domestic areas in those buildings.

Air-conditioning comprises several technical operations (heating, cooling, drying, humidifying and ventilation) which ensure that a building has a constant temperature and humidity at all times. In storage areas the preferred temperature is generally about 18°C and the relative humidity is 55% ; for working and domestic areas, conditions vary according to local custom and the ambient climate, but in a warm country a temperature of 23° to 25°C and a relative humidity of 55% to 60% is accepted as a comfortable environment ¹.

On the whole, air-conditioning gives excellent results, but it has two disadvantages :

-- the high cost of installation and operation (the expensive energy consumption, particularly when energy costs are high. The cost is proportionately heavy as the volume of air to be conditioned becomes greater) ;

-- the risks of breakdowns, which become particularly harmful when they cause sudden changes in temperature and relative humidity, thus creating the best conditions for the formation of fungus growth.

¹ On all these complicated questions, see M. Roubinet, *La climatisation*, Paris, Presses Universitaires de France, collection 'Que sais-je ?', no. 1387.

In fact a temperature of about 25°C, which is about average in tropical countries, would not in fact be particularly harmful to documents if the relative humidity were not very high. For that reason a system which combines dehumidification with ventilation and filtration, but without cooling, can well be regarded as sufficient for storage areas, reserving full air-conditioning to the working and domestic areas.

The air is dried by using solid or liquid dehumidifying agents, most common of which is silica gel in granular form which absorbs part of the water vapour in the atmosphere, and lithium chloride. Silica gel and other solid or liquid dehydrating agents are used in systems which simultaneously circulate and renew the air and then reactivate the dehumidifying agent after use. Such systems use much less energy than those giving full air-conditioning and are generally easier to operate and maintain. Systems using solid dehumidifying agents are the simplest, but they are also the most cumbersome to operate ; those using liquids are more complicated, but can be controlled more precisely ¹.

Air filtration has great advantages in tropical countries both for removing fungus spores, insect larvae and dust particles from the air and for getting rid of the salt which abounds in sea-side air and the polluting elements in industrial areas. All systems for dehumidification and ventilation must have appropriate filters on the air intakes.

When dehumidification, with or without cooling, has been introduced, it then becomes important to monitor its effectiveness. For this purpose all archive repositories in tropical countries should be equipped with thermo-hygrometers which trace two curves for temperature and humidity on a moving strip of paper which unwinds by a clockwork mechanism. These recorders should be placed in different places in the building and their readings examined each week.

When there is concern about damp walls, it is possible to get the services of specialist firms which will measure dampness with a device which uses electrodes. The treatment for dampness in walls is complicated and often requires work on the foundations of the building. Application of a water-repellant coating on a damp wall may give good results for a time, but it will rarely solve the problem completely ².

¹ M. Roubinet, *op. cit.*, p.85.

² On all these questions, see H.J. Plenderleith and P. Philippot, *art. cit.*, in *Museum*, XIII-4, 1960, pp.216-227.

SUMMARY

- continuous control of temperature and humidity is absolutely essential in archive buildings in tropical countries ;
- it is not always necessary to provide full air-conditioning throughout the whole building ;
- when full air-conditioning is not installed, storage areas for archives should have a system for drying the air by dehumidification with ventilation, and with air filtration at the air intake ;
- it is not sufficient simply to dry the air by using dehumidifying agents without ventilation ; good air circulation is an essential element in the fight against fungi and insects ;
- when the cost prohibits the provision of a system for dehumidification and ventilation, it is at least necessary to try to ensure (a) a continuous airing from windows well-protected against rain and sunlight, and/or well-positioned air vents, (b) dehumidification by the use of silica gel or another drying agent, (c) the small degree of filtration which can be obtained through a fine mesh made of metal wire or of synthetic fibres.

VIII. PROTECTION AGAINST EXCESSIVE SUNLIGHT

Formerly libraries and archive repositories were often given large windows in order to make it unnecessary to use artificial light, which was considered to present a fire risk. As a result, ultra-violet rays have often done a great deal of damage to documents which have been exposed to sunlight. .

For the past twenty or thirty years, architects have abandoned this bad practice. Some of them have even designed buildings with no windows in the storage areas for books and archives. The disadvantage of total darkness for the documents must not, however, be under-estimated :

- the need to maintain a satisfactory environment at all times, with all the risks in the event of a breakdown which have been pointed out above ;
- the need to use electric lighting for all research and other work ;
- the loss of the germicidal and fungicidal properties of sunlight.

It is possible to avoid these difficulties while providing satisfactory protection for documents from ultra-violet light. This can be achieved as follows :

(a) by reducing considerably the glazed areas. In tropical countries the following proportions are acceptable for windows : 1/5 of the total surface of the outside of a building on the sunny side, and 1/10 of the total surface on the shady sides ;

(b) by providing all glazed surfaces with the means of preventing the rays of the sun from penetrating directly into the building (louvres, screens, etc.) ;

(c) by arranging the rows of racking at right angles to the glazed surfaces ;

(d) by putting the documents in boxes.

In the case of older buildings which have too many large windows, remedial action can be taken as follows :

(a) by covering up a large part of the windows with opaque curtains, shutters or even screening devices made of brick or stonework ;

(b) by fitting them with coloured filter glass. Experience has shown that the most effective glass for filtering ultra-violet light is glass made with cadmium sulphate (yellow-orange) ; unfortunately it is very expensive. Double glazing with glass wool between the panes of glass gives good thermal insulation, but it has no special filtering properties.

IX. PACKING OF DOCUMENTS

The term 'packing' refers to all the techniques and materials used to protect documents against outside agents. This protection is necessary in all climates, but especially in tropical countries where the climate is particularly harmful. In a warm and damp climate, it is above all necessary to avoid all metallic elements which are likely to rust. Staples, pins, metal clips, etc., which are found should be carefully removed from the documents. If necessary the documents should be taken out of the ring or post binders in which they have been kept.

Strong cardboard boxes, if possible with reinforced corners, provide the most effective protection against light, dust, dampness, and to some extent against insects. Boxes should be large enough to take documents without folding or creasing the edges. There should be neither too many nor too few documents inside a box. By placing the boxes flat rather than standing them on edge, the documents will not fold back on themselves ; and this is a particularly great danger in humid conditions.

When no boxes are available, the documents will have to be wrapped carefully in strong ('kraft') paper, covering the documents completely. The packets or bundles will be fastened with tape or straps which should not be tied too tightly in order to avoid tearing the documents. Fastening with metal clips or buckles should be forbidden in view of the risk of rusting.

To prevent damage from dampness caused by condensation, boxes and bundles containing archives should not be stored directly against the walls, so that air can circulate around the wall surface.

Acidity of paper and of containers is a danger which must not be under-estimated. (According to G.M. and D.H. Cunha, it is the 'arch-enemy' of paper ¹.)

It is therefore advisable to use only cardboard and paper of low acidity (pH5 or higher) for containers and for the wrapping of bundles ; but we must recognise that archivists often have no opportunity to choose the materials which manufacturers use. As a protection against insects and fungi, it is recommended that the bindings of books and registers are smeared with a special wax or varnish (sold in France as *Cire 212*, patented by the *Centre national de la recherche scientifique*).

X. SHELVING

Metal shelving is used in libraries and archive repositories throughout the world. The disadvantage of wooden shelving is that it is combustible and is susceptible to attack by termites.

However, the inconveniences of tropical climate for metal shelving make some special precautions necessary :

-- by giving complete protection against rust, particularly where the sheet metal is bent, by a complete coating with a good quality enamel paint, with no air-bubbles or scratches ;

-- by ensuring a good circulation of air to prevent fungi forming in places which are not naturally aerated ². It is therefore preferable to avoid the use of solid metal shelving and instead to have shelves made in the form of lattice-work or slats which allow the passage of air.

¹ G.M. and D.H. Cunha, *op. cit.*, I, p.87.

² See an example in *Museum*, XIII-4, 1960, p.220.

XI. PROTECTION AGAINST INSECTS AND FUNGI : DISINFESTATION

There are two aspects of the struggle to prevent the growth of fungi and the increased infestation by insects : prevention and cure.

We have examined above the preventive measure (choice of materials, construction and finishing, building methods, air-conditioning, ventilation...) ; and we must not forget the importance of scrupulous hygiene, which entails frequent cleaning of the building and its surroundings (*cf.* below XIV) and disinfestation of documents on arrival.

In spite of all these precautions, invasions of fungi and/or insects can occur and need urgent measures.

(a) INSPECTION OF THE STORAGE AREAS - THE DETECTION OF DAMAGE

All archivists, especially those in tropical countries, must keep constant watch over the repository to detect possible invasions by fungi and insects. A thorough inspection of the building should be made at least every two months, or better still once a month. In addition, one such inspection should take place after every event which is likely to cause trouble (storm or cyclone, an earth tremor however slight, breakdown of air-conditioning, etc.).

During these visits, the hygrometers should be checked to make sure they are working properly (*cf.* Section VII). Floors, walls and ceilings should be examined for any signs of dampness, mould, lizards, leakages of water, etc. Documents on shelves should be examined by opening at random and turning the pages of books and registers. Suspect documents (traces of mould, holes made by insects, insect eggs, and even more so, live or dead bodies of insects) should be removed and the neighbouring documents carefully examined.

Anything made of wood should be struck with the hand or foot to test its solidity and to detect a possible attack by termites.

(b) THE DISINFESTATION OF AFFECTED DOCUMENTS¹

Documents which have been attacked by insects and/or fungi must be disinfested immediately. In tropical countries all documents

¹ F. Flieder and M. Ducheln, *La désinfection des documents attaqués par les microorganismes et les insectes*, in *Gazette des Archives*, 87, 4^o trim. 1974, pp.225-237. An earlier work is W.J. Plumble, *Storage and Preservation of Books, Periodicals and Newspapers in Tropical Climates*, in *Unesco Bulletin for Libraries*, XII, 7, July 1958.

must undergo the same treatment as a precautionary measure when they are transferred into the repository.

The best method of disinfecting documents, and the only remedy against both insects and fungi, is by using a fumigation chamber. A chamber with a capacity of 2 cubic metres is adequate for a small or medium-sized Archives ; 3 or 4 cubic metres is preferable for a larger organisation. Ethylene oxide chambers are easy to use ; they need to be placed in a well-ventilated position, with a flue to take away the exhaust gases. Their only disadvantage is their high price.

When such equipment is not available, a sterilizing chamber can be used, which is a hermetically sealed cupboard with perforated shelves in which either formaldehyde (against fungus) or lindane or thymol (against insects) are vapourised ; but this process takes longer and is less effective than the ethylene oxide chamber.

Standard commercial insecticides (camphor, paradichlorobenzene, DDT, etc.) have a moderate degree of effectiveness against insects which attack paper. They can be used either by impregnation or vapourisation, but as prolonged contact can damage paper, caution is necessary.

Termites present a special problem, as they are resistant to most insecticides in use today. Treatment with ethylene oxide in a fumigation chamber is effective. In case of serious infestation, or if the termites resist normal treatment, it will be necessary to use the services of a specialist laboratory which will use toxic agents with an arsenic base, requiring special precautions.

(c) THE DISINFESTATION OF AFFECTED STORAGE AREAS

Parts of the building where the presence of fungi has been noted must also be treated. For this there are two methods :

-- either spraying with a product known in France under its trade name Caequartyl BE (lauryl-dimethyl-carboxymethyl-ammonium bromide) in a solution of alcohol ;

-- or vapourisation of the product known in France under the trade name Albotene, with a special apparatus called a 'swing-fog'.

In addition, walls, ceilings and shelves should be washed with sponges or wet cloths soaked in Caequartyl BE.

Parts of buildings infested with insects can be treated with a sublimation of lindane (1.5 gr./m³). Wood attacked by boring insects and termites should be treated with a special product with a parachlorophenol base.

After disinfestation, it is essential to carry out frequent inspections to look for any return of the fungi or insects.

XII. PROTECTION AGAINST FIRE

The need to take precautions against fire is not peculiar to tropical countries ; and it is therefore possible to get information on this subject from general works on archive buildings ¹. We shall therefore only give some general information here. There are three aspects of the problem : prevention, detection, and extinction.

(a) PREVENTION

Incombustible or fire-proofed materials in the construction. Electrical alarm system. Walls and fire-doors between working areas and storage areas. Lightning conductors. Special precautions for areas which present special fire risk (for example, the binding and repair workshop).

(b) DETECTION

Installation of automatic smoke detectors using photo-electric cells. The activation of the alarm should automatically close the fire-doors. When the system is activated, an alarm should also be sounded at the fire station, so that the fire service can act immediately.

(c) EXTINCTION

Expert opinion is divided on the subject of sprinklers (automatic sprinkling set off by a detector system). Some see in them safety from the dangers of fire ; others see rather the danger of a false alarm causing a cascade of water over the documents. However, every archive repository must be furnished with powder extinguishers, carbon dioxide extinguishers or water extinguishers which give a fine spray. Hoses (water under pressure) should be used only by firemen.

(d) EVACUATION

A careful study should be made with firemen and architects to draw up procedures for evacuating the building in the event of a serious fire. Fire drills should be held regularly, at least once a year.

¹ There are many references in *The Administration of Modern Archives, a Select Bibliographic Guide*, Washington, D.C. (National Archives), 1970, p.43 ; new edition in press.

XIII. PROTECTION AGAINST THEFT

Although it is necessary to protect archive buildings against theft, it is rarely necessary to have resort to costly electronic devices similar to those used in banks and jewellers' shops. A basic and simple precaution is to fit grilles, bars or solid metal shutters to all windows on the ground floor and to any others which are easily accessible.

Inside the building, those parts which are not accessible to the public must be shut off by closed doors. Before the offices close in the evening, a tour of the building should be made to make sure that no unauthorised person is in there.

There should be no doors giving direct access to storage areas from the outside, except emergency exits which cannot be opened from the outside.

Service entrances will be kept strictly closed outside working hours.

Finally, as far as possible a guard will be maintained at night at all times.

XIV. PROTECTION AGAINST DUST AND DIRT

The struggle to keep down dust and dirt is especially urgent in tropical countries owing to the danger of the growth of fungi and the proliferation of insects and rodents caused by accumulations of dust and rubbish.

It has already been seen that the building should not be surrounded by gardens, hedges or bushes which could cause the accumulation of debris. The area around the building should be swept carefully every day.

Offices, working areas and parts of the building open to the public will be swept each day with vacuum cleaners. Floors will be washed regularly with disinfectant. Special attention will be paid to lavatories which are often infested with many kinds of insects in tropical countries. Storage areas should be cleaned at least once a week, using vacuum cleaners on the floors. Once a month the walls, ceilings and the corners of the shelves should be cleaned more thoroughly. Twice a year, a thorough cleaning should take place by removing dust from shelves and boxes and bundles of documents. During cleaning it is always necessary to avoid putting boxes or bundles of documents in contact with cleaning materials, which are often acid and therefore harmful to paper.

XV. DESTRUCTION OF PAPERS AND RUBBISH

One of the functions of an archives service is to destroy papers which have no historical value.

. In some towns there are contractors who buy old papers for industrial use. Before selling papers to them, it is advisable to shred them with a small shredding machine. When it is impossible to sell old papers locally, they should be destroyed by fire. Incinerators are made specially for this purpose in which rubbish, debris and particularly material which has been attacked by fungi or insects can be burned. These incinerators must be situated well away from the building (for example, in the garden) ; otherwise precautions must be taken against damage to health and risk of fire.

XVI. WORKSHOPS : BINDING, REPAIR AND PHOTOGRAPHY

Workshops for archive repositories in tropical countries are not essentially different from those in temperate countries. It is not necessary therefore to dwell at length on them here.

(a) BINDING AND REPAIR WORKSHOPS

Two recent studies by Mr. Kathpalia and Mr. John Davies have dealt exhaustively with binding and repair workshops ; and we shall therefore refer to them only in a general way ¹.

For our purpose it is sufficient to note :

-- that a binding and repair workshop, even on a modest scale, is absolutely essential in all archive repositories in tropical countries, owing to the great risks to which documents are exposed there ;

-- that when advanced and costly equipment, such as the Barrow laminator, is not available, the 'Indian method' of restoration gives

¹ Y.P. Kathpalia, *Conservation et restauration des documents d'archives*, Paris, Unesco, 1973 ; edition in English, *Conservation and Restoration of Archive Materials* ; J. Davies, *A study of the basic standards and methods in preservation and restoration workshops applicable to developing countries*, Brussels, International Council on Archives, 1973.

excellent results and is perfectly suitable for working conditions in tropical countries, at a fairly low cost for the equipment. The studies by Mr. Kathpalia and Mr. Davies give an excellent description of this method.

(b) PHOTOGRAPHIC WORKSHOP

Two photographic techniques are standard for archives in both tropical and temperate countries : microfilm (and/or microfiche) and photocopy.

Equipment for both has been the subject of a number of studies, and we shall not deal further with this subject ¹.

(c) OTHER WORKSHOPS

Other workshops might be useful or necessary in some Archives, particularly for woodworking and packing. The need for them has to be considered according to local requirements and feasibility.

XVII. SUMMARY OF TECHNICAL EQUIPMENT

It is worthwhile summarising here all the technical equipment mentioned in earlier paragraphs :

- air-conditioning/ventilation,
- fire-fighting equipment,
- disinfestation,
- binding and repair,
- photographic,
- paper and rubbish disposal.

XVIII. CONCLUSION

To some extent, all that has been written above is a rather idealistic description of an archives building in a tropical country.

¹ A.H. Leisinger, *Microphotography for Archives*, Washington, D.C., 1968 ; M. Quétin, *Microfilm et services d'archives*, in *Gazette des Archives*, 2^o trim. 1968, pp.101-119 ; M. Quétin, *L'équipement d'un atelier photographique d'archives*, in *Gazette des Archives*, 64, 1^{er} trim. 1968, pp.29-44.

The facilities which have been discussed, such as air-conditioning, disinfestation, fire precautions and workshops for binding, repair and photography are all fairly expensive and not easy to maintain. It is therefore not always possible, especially in smaller Archives, to get the building and equipment necessary to follow all these recommendations.

In any circumstances, it is at least essential to draw the attention of governmental and administrative authorities to the dangers which face archives (which are the cultural memory of a nation) when they are not protected against climatic enemies, at least by the minimum of proper equipment.

The financial investment required for the construction or conversion of an archives building, even if it is a considerable sum, is an absolute necessity for a nation if it does not wish to lose its historical heritage and its memory. This obligation is all the greater when the climate threatens to speed up the decay of records. It is the duty of all archivists, joining together within the International Council on Archives, to make the governments of all countries aware of these facts.

Conservation and preservation of archives

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Records have been conserved in one form or another from early times. The use of modern techniques and chemicals has resulted in the development of a new science: preventive conservation, which is cheaper than the only alternative, restoration. Various techniques for storage, proper environment, preventive de-acidification, fire prevention and restoration are described.

The archives now in our possession would have been unusable but for their proper care through the centuries. In early times, the prime concern of the custodians or even the producers of records was conservation. The records then were created in durable materials such as parchment, vellum, palm leaf and birch bark, clay tablets, stone, copper plates, papyrus, cloth, etc. At the present time records are being created on materials such as paper, films, tapes, print-out, punch card, etc., some of which are of doubtful durability. It is their conservation on modern scientific lines that is posing problems to the custodians of archives. Techniques for the purpose, as we know, developed during and after the two World Wars. These are being updated, and a number of countries are conducting research to develop new and safer techniques.

During the 1960s and 1970s a large number of countries became independent. They, like the other free states, have become aware of their holdings, and are also conscious of the importance of preserving them along modern scientific lines. However, they lack expertise or experience, information facilities, skilled or trained personnel to look after their archives. They have therefore sought the help of two international organizations, the International Council on Archives (ICA) and the United Nations Educational, Scientific and Cultural Organization (Unesco), which have responded as far as their budgetary limitations permit. Professional bodies set up in developed countries have also helped in speeding up this awareness.

Conservation in early times

In the early period of recorded history, the accent was placed on storage to prolong the life of documents. These were kept in scrolls in cylindrical boxes of wood or ivory, or wrapped in cotton or linen cloth, to guard them against insects, dust and humidity. For protection against the action of light and heat they were stored in dark places. Documents have been dug out from tombs and pyramids, and also discovered in places of worship, such as temples and churches. Most of them have been found in basements infested with insects and fungi. The pyramids in Egypt have yielded valuable collections of documents in a good state of preservation. The fact that the interior of the pyramids is cool and has proper air circulation seems to have contributed towards their preservation.

Cedar-wood oil and citrus oil were perhaps the first insect repellents used in ancient times for the preservation of records on papyrus. Other insecticides, used from time to time depending upon the material of the documents, have been camphor, cloves and clove oil, oil of eucalyptus, musk, etc. Certain aromatic flowers and leaves were inserted between the papers of books to protect them against insects. This practice was widespread and is not extinct even today, despite the fact that their use is harmful. Of these insecticides cedar-wood oil and camphor are still in use.

Before the Middle Ages, preservation did not pose a major problem, largely because of the good quality of the materials used for the creation of documents and the limited number of the latter. Parchment and vellum, which had become common materials by that time, had good durability. The problems of preserving records became acute with the invention of printing and the increased demand for paper. The shortage of paper fibres to meet the demand led to changes for the worse in paper-making processes. It is this paper that is now causing archives most trouble, because of its rapid rate of deterioration. The modern monster, pollution, is an added factor in the silent and rapid destruction of archive materials. It has thus become imperative to resort to procedures and techniques that help to minimize deterioration caused by these hazards. Such steps are now better known as preventive conservation.

Preventive conservation

STORAGE

To preserve archives properly and scientifically it is necessary for them to be housed in an appropriate environment. A number of archives have their own buildings for the purpose; others—the majority—have rented buildings that have been adapted for archival purposes. However, conditions for storage on scientific lines are far from ideal or even adequate in such buildings. To overcome this, most archives are planning their own buildings for the purpose. We can thus expect new housing to be built for archives in a number of countries during the next decade or so. Countries that have constructed new buildings in the recent past are Australia, India (Utter Pradesh, Gujarat, Andhra Pradesh), Indonesia, Japan and the United Kingdom. Countries that are planning new buildings are Belgium, India, Iran, Iraq, Kenya, Malaysia and Singapore, to name but a few.

Several buildings that have been newly constructed incorporate underground storage facilities—a pattern adopted in modern times in the Scandinavian countries and apparently on the increase all over the world. Other features that are being incorporated for protection against fire and damp are the use of fire-resistant walls, steel doors, fibre glass and asbestos sheets. One disturbing feature, though architecturally desirable, is the use of glass-panelled walls that do not accord any protection against light and heat. Further, there are instances of newly constructed buildings where washing facilities are located adjacent to or directly above the storage rooms. As a result, dampness has seeped into the walls and the ceilings, which, besides being harmful, interferes with the control of humidity in air-conditioned buildings. Moreover, the washrooms have become the breeding ground for insects, which invade the storage rooms at will. A number of such features that are not technically correct from the conservation point of view can be cited in new buildings. However, it is sufficient to stress here that the design of an air-conditioned archival building and the materials used in its construction should be such as to provide the greatest possible protection against insects, fungi,

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heat, light, moisture, fire, magnetic currents and ravages of nature, which are the main agents of deterioration of archival materials. Both ICA and Unesco have published studies on the requirements of modern archival buildings. One should pay particular attention to the Floor Area Ratio (FAR) and load factor per square metre on each floor, electric wiring—especially the load it can carry and also for future expansion—the provisions for construction of an annex or extension to the building, since archives buildings are not easy to construct and are built once in three or even more generations.

Collections of records differ in bulk, size and shape. Shelving arrangements therefore need to be specially designed according to the nature, shape and bulk of the materials. Most archives keep their records on steel shelves and cabinets for maximum protection against fire and vermin. There are, however, instances where archives have wooden, concrete or brick shelves. Such storage space needs careful and constant watching against deteriorating agents, especially vermin and damp. One feature that is being universally adopted is to keep documents in acid-free folders or document boxes made from acid-free boards prior to storage on shelves.

ENVIRONMENT

To ensure longevity of records it is essential to provide proper environmental conditions in the storage area, that is, control of biological pests, light, temperature and humidity, atmospheric pollution and dust.

Control of biological pests

Archivists are aware of the damage done to records by pests and take steps to eliminate them by using insecticidal sprays and insect repellents. They also take other precautionary measures to keep their storage areas free from pests. Some of the common materials used as sprays are pyrethrum mixed with DDT in solution form, and camphor, naphthalene or para-dichlorobenzene as repellents. These are in use particularly in tropical countries where chloromated hydrocarbons such as dieldrin and dieldrex are also commonly used against termites.

As a precaution against insect infestation, fumigation is being resorted to by certain archives. However, only a few have facilities for vacuum fumigation with carboxide gas or with methyl bromide. The latter technique is being increasingly adopted by archives, presumably because of the comparative ease of use and lower cost. On a smaller scale, nearly all the archives in anglophone countries amongst others are using fumigation with para-dichlorobenzene. Formaldehyde is also in frequent use, presumably because of its additional fungicidal action. Other chemicals that have been used are phosphine, carbontetrachloride and ethylene dichloride mixture, and hydrocyanic acid gas, but these are toxic to humans and should be used with great care. As fungicides orthophenyl-phenol, p-chloro-m-cresol and thymol are in universal use. The latter is a good fumigant against fungi.

The author has successfully tried sterilization against pests by exposing records to a temperature of 65 °C in a chamber for a short duration. The insects, their larvae and pupae, are eliminated as a result of this exposure, and no deteriorative effect on paper is visible immediately. However, studies are under way to assess any possible damage to paper in storage over a period of time. If the results turn out to be promising, this would then be one of the simplest ways of getting rid of pests from archival documents.¹

Since the provision of fumigation facilities is costly, many smaller institutions would like to share their use. It would therefore be desirable to have mobile fumigation equipment that could be hired for the purpose by smaller institutions.

Most of the countries in the colder climatic regions in the northern hemisphere have no such insect problems and therefore have no facilities for fumigation. For example, Belgium, Finland, the Netherlands, Norway, Portugal and Switzerland and forty-six institutions mostly in France, Spain and the United Kingdom do not have fumigation facilities.

Light

In recently constructed archive buildings the natural light is controlled architecturally and also by the use of venetian blinds, tinted glass and curtains. Lighting inside the rooms is improved by using paints that reflect the natural light. For artificial lighting, the modern practice is to provide diffused lighting of varying intensity for different rooms. Most archives use fluorescent light, which is switched on in storage areas only when required. Incandescent lighting is, however, still in use in others. In some archive buildings, in particular in Italy, there is no lighting in storage areas, and electric hand torches are used for the servicing of records. For display purposes, diffused light and filters to cut off ultraviolet rays should always be used. This is one thing most archives forget to use in their exhibitions for publicity purposes.

Temperature and humidity

Two elements, heat and moisture, cause most damage in tropical and subtropical countries. The problem is not acute in countries with a cold climate or in temperate regions. For controlling the adverse action of heat and light, air-conditioning is being resorted to in a large number of archives in the tropical regions, but not for twenty-four hours a day, unfortunately. For air-conditioning to be effective, it is essential to run the plant round the clock throughout the year. The temperature and relative humidity required for air-conditioning purposes are within the ranges $20^{\circ}\text{C} \pm 2^{\circ}\text{C}$ and 45-55 per cent respectively. There is, however, no uniformity regarding temperature and relative humidity. For example, in the Bahamas the temperature is maintained at 18°C and RH at 59 per cent, while in Canada a temperature of 17°C and RH of 50-55 per cent are preferred. In the United States National Archives the temperature range is $20-24^{\circ}\text{C}$, and RH 46-54 per cent. In Malaysia and Singapore the temperature is within the range of $21-24^{\circ}\text{C}$, but the RH range is higher: 50-65 per cent. In Europe the temperature varies from $14-21^{\circ}\text{C}$, though in most archives it is on the lower side. The RH varies from 40-65 per cent, but in most countries it is nearer the latter figure. In Denmark, the USSR and other countries in the colder northern regions, if the temperature is above 10°C people feel warm and find it difficult to work.

In buildings without air-conditioning, specially in the tropics, the temperature in record rooms can be kept within reasonable range by choosing rooms which are in the interior of the building or have a verandah around them. Higher temperatures in the summer season can be brought down by the installation of room coolers in windows. Steps should be taken to provide air-circulation by means of air-circulators, fans and exhaust fans to counteract the effect of high humidity and also to prevent the formation of pockets of stagnant air in the storage areas. Chemicals such as silica gel have been used in some archives to control

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humidity, but more effective is the use of humidifiers. These are in use in a number of countries. To be effective, they should, like the air-conditioning plant, run for twenty-four hours a day as long as the relative humidity is above (or below) the desired level. Each archive must have equipment for measuring temperature and relative humidity, and a record of the readings must be maintained on a regular basis.

Atmospheric pollution and dust

The most common form of pollution is from acidic gases such as oxides of sulphur, nitrogen and carbon. These gases result from the burning of coal, oil and petroleum products. They make the archival materials acidic, thereby hastening their deterioration. Dust having hygroscopic properties, this brings about an increase in moisture content, and causes staining and damage. Nuclear dust has added another parameter to deterioration.

It is therefore necessary to take measures against these factors by carrying out an alkaline wash of intake air in an air-conditioning system, vacuum cleaning, having air-tight windows and doors, and locating archives away from nuclear installations.

FIRE

Nearly all archives have taken steps against accidental fire by encasing electric wiring in conduits and providing main control switches outside storage areas. Many archives have used fire-resistant materials and divided their storage area into separate fire-resistant compartments. In air-conditioned buildings, automatic dampers have been installed in the ducts to prevent the spread of fire. Steps have also been taken for detecting fires by means of heat-sensors or smoke detectors. For combating fires the two materials commonly used are carbon-dioxide gas and halogens. Water-sprinkler systems with heat control, water pipes and hoses are also being used to supplement the fire-fighting facilities in some archives. However, for these to be effective, all staff in the archives without exception should know how to operate the gas cylinders for combating accidental fires. Coupled with this, provision of emergency exits for the staff and evacuation of records from the storage areas, and communication with the fire stations for extinguishing major fires are essential features of a modern archives.

DE-ACIDIFICATION FOR CONSERVATION

One of the major causes of deterioration of paper is acidity, which is caused by a number of factors such as use of impure cellulose, rosin alum sizing, residual chemicals left in paper owing to improper manufacture, environmental conditions, use of acidic links, etc. It is essential to know the degree of acidity of a document, that is, whether it is highly acidic, slightly acidic, neutral or alkaline. Every archive must have facilities and staff for detecting the presence of acid in records and for counteracting it. When records are otherwise in good condition it is not desirable to resort to expensive de-acidification techniques involving treatment of each sheet with neutralizing solutions. Simpler techniques that make use of the existing facilities in archives, such as those for fumigation, can be used for de-acidification with ammonia. It is a simple technique and does not involve the use of expensive materials, nor does it harm the documents, but it does help in neutralizing acidity in documents. If such de-acidified documents are kept in a

proper environment, i.e. in air-conditioned storage areas where the air is washed prior to conditioning, there is little chance of their becoming acidic again quickly. Every archives should develop facilities for the purpose. The work of German investigators who presented a paper on the treatment of documents with ammonia at low temperatures at the 1980 Cambridge conference is of great interest in this direction.⁸

It is true that other materials such as morpholine and diethyl zinc have become available for mass de-acidification, but the use of these chemicals is hazardous in an archive and is not recommended.

Restoration

The holdings of many institutions are in an advanced state of deterioration. However, the percentage of records needing restoration varies from institution to institution. On an average 15 to 25 per cent of the holdings are in brittle condition and in need of repair. In some institutions as much as 50 per cent of the holdings need attention. A few archives known to the author have not even started on restoration, though they intend to do so in the near future. On the other hand, some archives that have set up repair facilities do not have either the funds or the trained personnel to do the job. There is no doubt that the facilities available are inadequate and that there is great need to check deterioration and restore documents speedily.

It is not the author's intention to review here the various techniques of restoration in use. Suffice it to say that the methods that have withstood the test of time are traditional ones, now better known as the Florentine technique and the solvent lamination process. Every archive service should have staff trained to carry out repairs by these processes. In fact archivists in developing countries should resort to these processes only. Once they have gained skill and expertise and have acquired funds, they may consider mechanization.

Lamination by machine is desirable for the restoration of newspapers in the custody of archives. The equipment is, however, costly. Lack of funds, coupled with doubts raised by the Library of Congress in the United States (which, however, are untenable), may delay its use. Until such time, the Florentine technique or the solvent lamination process would be adequate.

One piece of equipment which is bound to become common once its manufacture is stepped up is the leaf-casting machine. It is being used extensively by some developed archives, mostly in Europe and the United States. The machine is costly, but if mechanization of the restoration process is required, then this machine should have preference over the machine laminator.

Staff

To carry out the conservation and restoration work, however, it is essential to have a technically qualified and trained staff, which need not be large but should certainly be sufficient to meet immediate requirements. They should be skilled in determining acidity and in the handling of equipment for both conservation and restoration. They should also resist the temptation to use the so-called quick techniques and materials of doubtful nature, for more harm accrues to a document by use of such materials than if it is left untreated. This is especially true for the new materials on which archives are being created, such as punch cards, print-outs, video, tapes and films, etc. Expertise in these areas is still in a nascent stage.

At present there is an acute shortage of trained personnel in the developing

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countries. Most of the staff that they have acquired skill as a result of in-service training in their own respective archives, by trial and error, or by visits abroad to developing archives. The position, however, is slowly changing as facilities for training in institutions that have been, or are being set up with the help of ICA and Unesco are being increasingly used by archives in the developing countries.

Nevertheless, it is felt that it is necessary for technicians today to have not only training in the practical aspects of their work, but also a basic knowledge of the sciences, especially chemistry, and of the materials and techniques that are used in conservation and restoration processes. Persons with this basic scientific knowledge are becoming available. It is the author's hope that more and more qualified persons will take up the profession of archive conservation, for conservation is as important an aspect of archives as archives administration or records management. In fact, these three major facets of the archive profession are interdependent.

Conclusion

The overall position regarding facilities for preventive conservation in most of the archives that have responded to various surveys seems to be satisfactory. However, this cannot be said of archives which have been established recently or are in the process of setting up facilities. This is probably due to the lack of trained personnel and information facilities on the subject. Nevertheless, they are aware of the need for taking steps towards conservation, for the only alternative—restoration—is beyond the financial means of archive services even in some developed countries because of the high costs involved and the huge number of documents that are already awaiting restoration.

Preventive conservation may appear to be costly, but it is essential. Even with modern devices it represents just 10 per cent of the cost of the other alternative, restoration.

Notes

1. Author's unpublished work.
2. Compendium of papers presented at the Cambridge 1980 International Conference on the Conservation of Library and Archive Materials and the Graphic Arts. These papers are being published in a volume of proceedings.

Selected reading

- The Conservation of cultural property.* Paris, Unesco, 1968.
- CUNHA, G. M.; CUNHA, D. G. *Conservation of library materials.* Metuchen, N. J., Scarecrow Press, 1972.
- DUCHEIN, M. *Archives buildings and equipment.* Munich, Verlag Dokumentation, 1977. (ICA handbook series, Vol. 1.)
- KATHPALIA, Y. P. *Conservation and restoration of archive materials.* Paris, Unesco, 1973.
- . *Conservation and restoration of archive materials: a survey of facilities.* Paris, Unesco, 1978.
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MODERN TECHNOLOGY AND ARCHIVES

OUTLINE OF A PLAN FOR STANDARDISING THE MICROFILMING OF ARCHIVES

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There is a continuous increase in the use of microfilming in the field of archives. It would therefore be very useful to have some rules for its use ; for without them a number of irreversible difficulties could arise quite rapidly. Microfilm is used so widely, and for so many purposes, that it is essential to define exactly which of its many uses concerns us here. We shall in fact be discussing the use of microfilm by public Archives, both as an aid to research and possibly also as a means of solving some administrative problems.

Microfilm is not an end in itself. It aims simply at using film as a substitute for conventional forms of archives, such as the document, the file, the bundle or the volume ; and when filming material of this kind, some kinds of control are necessary. Normal archival functions - appraisal, arrangement, description and allocation of references - will always continue in the same way, with microfilm serving only as a substitute for one material by another. The substitution of a file of papers by a microfilm copy must of course be noted in the list (we shall see later how this is done), but the structure of the list itself should not be altered ; nor consequently should the arrangement of the documents be changed, except in special cases (for example, plans or posters, which anyway require special treatment when dealing with the originals). When a microfilm is made of a file which is later removed, or if an original file later replaces a microfilm copy, the list should not be revised, except to indicate the presence of a microfilm in the place of the originals.

This is the essential principle which controls the use of microfilm. The work of the archivist is still the same. Microfilming is only a supplementary process to be used when original documents are to be destroyed, returned to their owners or, as we shall see later, rearranged.

The application of microfilming to archives, as well as to library and documentary material, is therefore quite different from its use for other purposes.

I. THE PRINCIPLE KINDS OF MICROFILMING

The microfilming of archives can serve several purposes. Each of them needs some explanation. They are :

- A) Substitution microfilming,
- B) Security microfilming ;
- C) Complementary microfilming ;
- D) Microfilming for reference purposes.

A) SUBSTITUTION MICROFILMING

When records, or classes of records, are microfilmed before being destroyed, this operation is known as substitution microfilming. Substitution microfilming owes its origin to the fact that the Archives were being overwhelmed by an ever-growing mass of paper for which no space or equipment could be made available.

Practically speaking, the value of substitution microfilming is limited by several factors :

1) Substitution microfilming does not in all respects give a perfect reproduction of a document. The critical user of a document depends sometimes on aspects of it which do not appear on the film : even slight differences in the colour of the ink, the material on which the document is written, the quality of the paper, its watermark, etc. The physical characteristics of a document are not entirely reproduced on the filmed image.

2) Legal considerations are also important. The fact that microfilm can give an exact reproduction of the text of a document obviously makes it valuable by making available a copy of the original ; but nevertheless certain conditions have to be met when making the film (the film must be a complete copy, there must be no additions from another document, etc.). That is why a photographic copy is still not considered as evidence. It is a copy like any other copy. We might consider therefore creating a body of photographers with a technical qualification who are sworn in as officially recognised operators. In the present state of the law, substitution microfilming is not acceptable in most countries, since it means substituting a simple copy for an original.

The use of substitution microfilming therefore raises difficult questions ; and it must be used with considerable caution. The process should be confined strictly to well-defined types of documents.

While substitution microfilming cannot be used in many cases, it would be perfectly feasible to use it for research purposes.

Old accounts are most cumbersome documents to store, however useful they might be for the study of economic history. In this case substitution microfilming would be well worth while.

3) There are also other considerations, of which the most important are the financial implications. Some financial considerations make it desirable to extend the use of substitution microfilming. Film certainly takes up less space than the documents themselves. Sometimes lack of space makes it quite impossible to store sizeable quantities of documents to which ready access is required. In such cases, substitution microfilming is a practical solution. When documents are no longer in frequent use but have to be kept for research purposes, which is the case with most public archives, the problem is not exactly the same. It is no longer absolutely necessary to store them in the same place as that in which they are used ; and the problem therefore resolves itself into a simple comparison between the cost of microfilm and that of an archives building.

We have made some calculations of costs. These were made in October 1953, and they need some explanation. The cost price of microfilm was based on the filming of 1,000 frames a day. This might seem to be a very low figure, but in fact it is quite reasonable when we take account of the great variety of documents which have to be copied. The cost of equipment has been estimated at 1,000,000 FF (a figure which is needed to calculate the depreciation of the equipment at the rate of 10% per annum) ; this is a low figure which consequently compensates for the first figure. This does not take account of the costs of staff and the premises required for the storage of film. The filing cabinets used are of metal, with four drawers. For the building cost we have taken two recent examples, the repositories at Tarn-et-Garonne (Montauban) and Aisne (Laon), without including the purchase price of the land. A kilometre of shelving costs, taking account of building and equipment, 7,600,000 FF in Tarn-et-Garonne, and 10,000,000 FF in Aisne, where the buildings are provided with all modern technical facilities, including heating, lifts, etc.¹

Even from these rough figures it can be seen that there is a considerable financial advantage in favour of storage of the original documents in archive buildings. When an existing building can be converted, the economy is much greater.

Nevertheless some documents are best dealt with by substitution microfilming. Papers and inks are not easy to keep in good condition ; but microfilm will keep more or less indefinitely, because

¹ The Archives of the Aisne has double walls made of special glass, costing 16,000 FF per square metre against 8,000 to 9,000 FF for walls made of stone or brickwork.

Type of film *	Number of frames in a filing cabinet	Equivalent in bundles	Metres of shelving	Price		
				Microfilm	Construction Montauban	Laon
35 BP ...	125,000	167	27.5	479,360	193,800	274,500
35 MP ...	110,880	148	24.4	469,560	185,440	244,000
35 NP ...	100,800	134	22.2	461,335	168,720	222,000
16 BP ...	480,240	640	105.7	902,804	803,320	1,057,000
16 MP ...	372,600	497	82	824,654	684,000	820,000
16 NP ...	339,480	453	74.7	803,404	667,720	747,000

* 35 or 16 PB = 35 or 16mm with double perforation ; MP = single perforation ;
NP = non-perforated.

further copies can be made when the film begins to deteriorate. The example can be given of carbon copies of letters on thin paper, which rapidly deteriorate owing to the nature of the paper and ink.

The same problem in the preservation of documents arises in those regions where climatic conditions or attack by insects are a permanent source of danger. In these parts of the world it is essential for all archive repositories to have a microfilm laboratory. Copies of all microfilms should then be sent for storage in a more favourable climate.

The last two cases are indeed examples of substitution microfilming, but such enforced substitution is more like security microfilming. Substitution microfilming really occurs only when the purpose of the filming is to avoid the double cost of microfilming and of storing the originals in an archive building.

Substitute microfilming must therefore be considered as a method to be used only in a small number of cases and subject to very strict rules.

Consideration should be given to granting tax reductions for encouraging the preservation of old records by private firms which might be interested in substitution microfilming owing to the taxes on the premises they occupy.

B) SECURITY MICROFILMING

We shall not return to the two examples just given of enforced substitution microfilming, which are really examples of security microfilming.

Security microfilming is the filming of records with information which should be preserved if the original were destroyed for one reason or another :

-- to keep from possible and unintentional destruction (from fire, risk of hostilities, etc.) those records which are valuable either because they are being used (civil registers, papers of companies, etc.) or because they are part of the intellectual, historical or artistic heritage of a country ;

-- to make it possible to give access to documents in microfilm rather than in original, particularly when they are of great value or fragile ; also to classes of documents which are threatened with destruction through excessive and repeated use ;

-- to make it easier to consult some kinds of records which present difficulties by reason of their physical form, such as old and particularly large card-indexes in which the cards cannot be held by retaining rods.

We can include in this kind of microfilming, insofar as legislation permits, documents of which copies are often made ; this is particularly the case with civil registers.

Finally, when there are requests to consult documents away from the Archives, it is wise to microfilm them. Sometimes access to such documents will only be allowed by making a microfilm copy available ; in other cases the document will simply be microfilmed before sending it out of the Archives.

In most cases of security microfilming, it is essential to keep a master negative of the film in a safe place, and to give access only to another negative or a positive copy made from the master negative.

C) COMPLEMENTARY MICROFILMING

Complementary microfilming essentially consists of bringing into an archive repository microfilm copies of documents of which the originals are not held by that repository. It can be applied :

-- either to whole record groups, family or business archives, for which it serves at the same time as security microfilming ;

-- or even to documents which belong to a record group transferred to the Archives, but which the owner wishes to retain for some reason.

Microfilming is an essential means of making it possible to deal in the most flexible and efficient manner with some of the difficulties which are likely to occur with the deposit, storage and accessibility of private archives. Complementary microfilming should not be used however for public archives, as it would encourage breaches of the rules of transfer.

It might even be necessary soon to consider setting up mobile microfilm units which could be used when important records are to be destroyed, sent abroad or dispersed.

The exchange of microfilm provides a satisfactory solution to some problems. It has already been used for archives preserved in England which relate to France. India has begun a programme of microfilming sources relating to its history which are kept in other countries. Belgium has recently made microfilms of whole classes which interest that country and which are in the Archives at Dijon and Lille, and in future years will direct its efforts towards the 'Belgian' archives kept in Vienna.

Transfers of archives by international agreements, such as we have seen recently, also rely on the use of microfilm. The archives of Simancas, listed under the reference series K in the Archives

nationales in Paris, were microfilmed before being sent to Spain in 1941. Similarly a small group of archives of the Count of Asi was restored to Italy in 1951 ; and the State Archives of Turin undertook a much more important microfilming operation for archives relating to Savoy and Nice which were sent to France by Italy in accordance with the terms of the peace treaty of 1949.

D) MICROFILMING FOR RESEARCH PURPOSES

Microfilm is an exceptionally useful tool for research purposes. In fact, it has many applications for such purposes.

First, it can be used to reconstitute archive groups which have disappeared or have been dispersed among several repositories. Some archives have vanished completely. They can sometimes be reconstituted either by copying from film made before their destruction, or from copies made by historians. But also archives have often been dispersed or can even be found in private houses. These too can be reconstituted by using microfilm ¹.

At the international level, it is worth noting an agreement between the French and German authorities in 1953 which provided for a simultaneous microfilming operation aimed at remedying the ravages which occurred when there were exchanges of archives between Alsace and Baden. These archives can then be reconstituted without moving the documents again.

Microfilm also makes it possible to put together classes of documents which relate to a given person or subject, and similarly single documents which are scattered among different classes or even in different repositories. In this way, collections of documents which cannot easily be printed can be presented on film. Such film could be widely distributed, provided care is taken to safeguard copyrights in the documents. The latter is without doubt a question which could be resolved without much difficulty.

¹ Several examples can be given. The archives of the *Contrôle général des Finances* after 1724 are practically non-existent at the *Archives nationales*. Anyone wanting to study the economic policy of successive ministers would have to visit several *départements* to look at the archives of the *Intendance*. The correspondence to or from the various controllers-general could be brought together on microfilm. This might be a long and costly procedure, but it would result in the reconstitution of a group of exceptional value. It would avoid further expenses for the historian, which today are usually paid by the *Centre national de la recherche scientifique*.

The *Caisse générale du Commerce et de l'Industrie*, established by Lafitte in 1837, disappeared in the troubles of 1848. No records are found in public repositories. By bringing together the scattered documents in certain public and private libraries we have succeeded in reconstituting on film the statutes, circulars, minutes of general assemblies, etc., to provide the means for a thorough study.

An analogous example is the case of documents which are put on display in exhibitions. The *Archives nationales* in Paris in most cases puts on microfilm those documents which are selected for an exhibition but which cannot be put on display through lack of space. The result is to have a series of films on a given subject ¹.

Thus microfilm is used on a very large scale for research purposes ; and it is probable that in the very near future it will be regarded as an essential working tool. Other archival uses of microfilm can be identified, in particular the following :

-- the microfilming of unpublished finding-aids, which can then be used not only in the place where the archives are kept, but also elsewhere, including abroad ² ;

-- the microfilming of printed material, which can then be consulted at the same time as the archives to which they are relevant ;

-- microfilming at the request of members of the public.

In the near future, the growing complexity of the administrative machine and developments in historical research can only lead to an increase in the number of services provided by microfilm.

II. PRELIMINARY PROCEDURES

The procedures which precede the microfilming of records are essentially normal archival operations, and there is no need to repeat them here.

It should be noted, however, that these procedures must be carried out with very special care. While it might be possible in some cases to have second thoughts on appraisal or arrangement, it would be very difficult or even impossible ³ to change the order of exposures on a film. These particular points must be emphasized:

¹ Examples are : *Goethe et la France* ; *Les traités de Westphalie* ; *Le vin et la vigne en France* ; *Jouffroy d'Abbans et les débuts de la navigation à vapeur*, etc.

² Princeton University has filmed all unpublished inventories in the *Archives nationales*. There is also a plan by the Library of Congress in Washington to film finding-aids in European Archives.

³ It is obviously possible to cut and slice the film ; and there is no reason why this should not be done when some exposures are of poor quality or some documents have been omitted from their sequence in the film ; but this should be regarded as an exceptional procedure. When it is essential to insert a frame at least 5 blank frames should be left on either side of it.

A) APPRAISAL

Appraisal must proceed in accordance with the usual principles. When appraising records it is sometimes useful to keep two specimens of documents which are very numerous ; but obviously only one need be kept for the film. The high cost of filming makes it necessary to impose more stringent standards for selection when microfilming than for normal archival purposes.

B) ARRANGEMENT

This too must be done carefully, as it will not be possible to change it. Large bundles must be split up, or the film will be difficult to read. Volumes and manuscripts must as far as possible be foliated or paginated.

Finally, a vital question arises. In the case of substitution or complementary microfilming, the originals of the filmed documents are not in the repository where the microfilm copies are held. It is therefore possible to arrange them in one of two ways : either regarding them as units of film, in strips or rolls, or as conventional archive units. We are in favour of the second alternative, which has the advantage of allowing the introduction of microfilmed archives into ordinary lists without too many problems. Especially in the case of complementary microfilming, if the originals are subsequently presented or deposited, they can be put into the list without changing it too drastically. This system will be used exclusively in the *Archives nationales*

III. TECHNICAL OPERATIONS

It is obvious that the technical aspects of microfilm operations are of great importance. They involve some choices which may not be easy to make.

A) THE CHOICE OF EQUIPMENT AND OF FILM

1) Choice of photographic equipment

The choice of camera is made difficult by the high cost and the limited amount of money which the Archives have at their disposal. The choice depends entirely on the kind of use which will be made of the camera :

a) When only a small quantity of microfilm will be made, and only occasionally, there can be no question of buying an expensive camera ; and in most such cases a simple and small camera will be adequate. This will also enable the archivist, who in France is often also a curator of *objets d'art*, to take the camera with him on his tours of inspection.

b) The camera in the Archives can also be used to meet the needs of the *préfecture*, of a documentation centre, or even of the public. It would then be necessary to estimate the requirements exactly and to obtain a suitable camera. It is important not to set up a photographic unit which is too large to meet a low demand.

c) Some Archives may have to make microfilm copies on a large scale ; and in such cases the installation will have to be as comprehensive as possible.

We shall see later, when we discuss microfilm policy, that it is without doubt preferable to have a large number of small units, with a limited number of properly equipped large centres.

The kind of work to be done makes it unnecessary to choose cameras which are capable of a very high rate of output. The variety of the work to be done requires more care than speed (the Remington electronic camera can take up to 40,000 exposures a day). Only planetary cameras should be used. When it is required to film a card index quickly, for example, it would be better to hire a fast camera rather than tie up large sums of money in buying apparatus which will be used only infrequently ¹.

The many different kinds of documents which have to be filmed make it desirable to have the most versatile cameras. Ideally we should have cameras which work equally well with 35mm and 16mm film, with perforated and unperforated film, and with adjustable apertures which make it possible to position the documents exactly and avoid loss of film. The Kodagraph appears to come nearest to fulfilling these conditions ; and it has the further advantage that it can be dismantled and transported. However, it uses only 30m reels and moreover cannot take two copies at the same time. Its high price (1,800,000 FF) and difficulties in making payment in Europe do not make it easy to acquire one of these. We must therefore look at other cameras which, when looked at carefully, have some advantages over the Kodagraph, even though

¹ A central archives directorate could have mobile units with technical staff and specialised equipment, such as rotary cameras for copying large quantities of certain kinds of modern archives. (A rotary camera is an electronic camera which can deal with a continuous flow of documents, particularly forms.) Such units would also have cameras with variable format which are capable of taking shots larger than 24 x 26. The unit could when required visit *Archives départementales* and local Archives to supplement the normal equipment in those places.

they do not offer the same full range of uses (English Kodak, Microjumma Debrie, Lumoprint, etc.). If we rule out cameras with a rapid output then we should prefer those which operate with a short exposure.

Less sophisticated and more rapid cameras can be used for filming classes of documents which are all of the same kind, especially in their make-up and format, such as modern records or registers.

2) Choice of film

There are many types of film, which differ in their nature and size.

a) Orthochromatic film will be used in most cases. It is also the least expensive.

Panchromatic film should be used for documents of different colours.

Colour film has only been used once in the *Archives nationales*, for the filming of coats of arms. The colour will possibly disappear after a few years.

b) There are two sizes of film : 35mm and 16mm ¹

When copying a large number of documents, 16mm film obviously takes up less space than 35mm and is appreciably cheaper. It is suitable for documents which do not exceed 21 x 27cm, and also particularly for modern typewritten or printed documents. Some American cameras use 16mm film with two 8mm tracks for small documents, either for copying side by side the back and front of the document, or for filming continuously on the two tracks.

3) Choice of the size of the image

There are some problems in choosing the size of the image.

a) There is perforated and unperforated film.

Larger images can be obtained by using unperforated film, which is valuable when a higher reduction is used. With 35mm film,

¹ The question of microfiche is still the subject of much debate. While it seems to be preferred for 'documentation', it is not so suitable for the filming of long series of documents. Microfiche is used :

-- when copying documents comprising a few pages only. It would, for example, be an excellent way of filming company returns to a commercial court ;

-- for plans which cannot be microfilmed without excessive reduction. It is the same for posters and newspapers.

the maximum size of the image on perforated film is 24 x 36mm ; on unperforated film, 32 x 45mm. Therefore with unperforated film we can either copy a document with less reduction, or larger documents can be copied.

The rules of the *Association française de normalisation* (AFNOR) give the maximum dimensions of the image on 35mm unperforated film as 32mm, and on 16mm unperforated film as 15mm.

b) It is also important to know the reduction ratio. A reduction ratio of 10, for example, means that a document measuring 24 x 36cm has been reduced to a photographic image measuring 24 x 36mm. As a general rule a reduction ratio of more than 20 is unsuitable.

Some cameras will reduce up to a ratio of 35. These can be used either for copying large documents with bold lettering, such as posters, or instead of the camera used for making microfiche (but we shall see later the precautions which have to be taken in this last case).

With a reduction ratio of 20, it is possible to film documents of the following dimensions :

On perforated film	48 x 72cm
On unperforated film	65 x 90cm

In other words, a ratio of 20 on unperforated film gives the same image as one of 25 on perforated film ¹.

c) One of the dimensions of the image (that which corresponds to the width of the film) is standard. On some cameras the other dimension is fixed, and depends on the aperture of the lens. With cameras with an adjustable aperture, it is possible to get the whole document in the photographic image. These cameras project a frame of light on the document which corresponds to the image. Some cameras can also be pivoted to enable the operator to use the film in the most advantageous way. In all cameras, only the piece of film which has been exposed moves on, and there is no risk of loss of film.

B) FILMING

It is impossible to over-emphasize the care which must be taken when filming. This is one of the essentials of microfilming opera-

¹ Microfiche is in two sizes : 75 x 125mm and 105 x 150mm.

tions, especially if substitution microfilming is ever undertaken, or in cases of complementary filming.

1) Precautions with the documents

Documents must be very clean in order to get perfectly clear photographic images. Any dust should be carefully removed. Parchment documents must be flattened to prevent whole lines or some words being unreadable in the photographic copy. The document is usually held flat by a sheet of glass. Care should be taken with 18th and 19th century documents on which the ink was dried with sand, which is liable to scratch the glass and make the image less sharp.

If a document has to be filmed in several parts, a photograph of the whole should be taken before the series of sectional photographs, to show how the various parts should be put together; this should be done even if it means going beyond the reduction ratio of 20 when copying the document as a whole. It is essential to number each of the separate photographs taken of large documents and rolls.

2) Testing the film

Some commercially-supplied films are not as sensitive as others. A test must therefore be made, using the same document with various levels of lighting, and calibrating the results with a photo-electric cell. This will test the sensitivity of the film. It is very important to maintain strictly the level of reflected light which has been chosen as the most suitable at the beginning of the test.

In the case of a register in which the pages and inks are the same throughout, it is sufficient to make this test just once. In other cases, and especially for parchment documents, the test should be made for every item photographed.

3) The leader

If the film is to be kept in the form of reels, there should be a leader at the beginning of each reel. This is to make it easier to set up the film on microfilm readers or enlargers.

4) Position of the documents

Only two of the four possible positions should be used. The top of the document will always be positioned on the side of the reel of unexposed film, or on the left of the film in the direction in which the reel unwinds. In cameras with a pivoting head, care must be taken to keep the document in the same position in relation to the film. These precautions are essential in order to make it easy to read the film.

5) Titling

The first frame of the reel should be kept for the title ; and it should be possible to read this with the naked eye. The letters and figures which make up the title should be at least 2mm high. The use of boards on which moveable letters are set is recommended.

The title should include several items of information which will aid identification :

- name of the organisation which made the film ;
- date of making the film (month and year) ;
- reference of the film ;
- archival reference ;
- accession number of the film ;
- number of the reel in the series ;
- possibly, the initials of the photographer (this is essential if microfilms are to be used in the courts in place of the original).

The title should be repeated at the end of the reel, together with the words 'End' or 'Continued in reel no.x'.

6) Make-up of the film

The films are made up in different ways, depending on the form in which they are kept. There is hardly any problem if the film is to be kept in 23cm-long strips. But if the film is to be kept in reels there are certain rules to follow.

It is always preferable to give the reels the same reference as that given to the documents themselves. A reel might contain one or more registers, or on the other hand a single register might be filmed on one or more reels. For that reason the length of a reel need not be kept rigidly to 30m. According to the length of the item to be filmed, the reel could be shorter than the normal 30m, or it could be extended to 32 or 33m.

When filming a volume which is paginated or foliated, any blank pages must be filmed if they are not more than five in number. If there are more than five blank pages, a note giving the number should be microfilmed. If this is not done, the user of the film might wonder whether or not the film is complete.

It is sometimes more difficult to find what we are looking for in a 30m reel of film than in a bundle of files. The breakdown of the bundle into separate files should be marked as clearly as possible on the film, either by leaving five blank frames or, as is done in some countries, by two black stripes on a white background. In microfilm readers which unwind automatically the beginning and end of the various files can then be quite clearly seen.

7) Special arrangements

It is not possible to discuss here all the special cases which are likely to be found when filming a series of documents. These are the most important :

a) When a bundle contains a document which is too large to film it is then sometimes possible to copy it in the form of a microfiche. In this case the reference of the negative copy must be noted, and the reference of the bundle or document from which it was taken must also be shown in the microfiche. It is the same when originals are separated from their accompanying documents ; without cross-references it is unfortunately very difficult to find them.

b) The same will apply to seals, which are difficult to photograph with microfilm cameras. Photographs must be made of the seals with cross-references to the microfilm copy of the sealed documents;

c) It is often useful to know the exact size of documents. There should therefore be a scale on each document or in front of each volume to make it possible to see the actual size of the original ;

d) In the case of documents which have a contemporary table of contents (usually at the back), this should be microfilmed before the document itself is filmed ;

e) Do not forget to film the cover of a file of documents if the former bears any information.

C) FILM STORAGE

The problems of storing films are also very important. Some of these problems are concerned with the form in which the film is made ; others relate to the conditions under which they should be kept.

1) The forms in which films are kept

There are essentially two : strips and rolls. Each has its advantages and disadvantages ; and the use of each is defended by some and opposed by others.

a) Film strips. Film strips should be 228mm long ; for example, six frames of 24 x 36mm. Film strip is used only for 35mm film.

Each strip is put into a cellulose acetate jacket, or a jacket made of vinyl¹. There are two kinds of jacket. One is exactly

¹ This material is often referred to under one of the brand names 'Cellophane'. There are similar products under names such as 'Panofals', which give better resistance to dampness and heat.

the same width as the film (35mm), with the reference strip which identifies the film put inside the jacket on top of the film, concealing only the perforations. This is only possible when using film with single or double perforations. The advantage of this method is that it is never necessary to take the film out of its jacket when it is put through a reader or enlarger. The other type is wider so that the reference strip can be placed above the film ; and this will of course be used with unperforated film. Its disadvantage is that the film must be taken out of its protecting jacket when using it on a reader or enlarger.

Film in strip form can be stored in special cabinets, in file covers or in suspended files ; in the latter case they can be kept in ordinary filing cabinets.

Film strip is very suitable for a small series of separate documents, such as collections of autographs, correspondence, or documents displayed in an exhibition or a museum. It would not be used for bundles of modern archives or large series of registers. Film strips make it possible to retrieve frames instantly ; but they require very precise means of reference to make them as useful as possible. The use of film strip will, however, be restricted by its relatively high cost. It will take up more storage space than reels of film ; the jacketing of the film is relatively expensive (9 FF) ; it requires more advanced storage equipment ; and more staff are needed to keep it properly filed away. In practice there would be no advantage in putting on film strip a ledger which can be read more easily by unrolling the film continuously ; the same applies to any other document which in its original form would need to have its pages turned.

b) Roll film. Reels of film now most commonly in use are 30m long, with the slight variations mentioned above. To prevent the film being too tightly wound, the diameter of the centre core has been fixed at a minimum of 35.7mm (the manufacturers have refused to use a diameter of 40mm as requested by AFNOR). The flanges of the reel should have holes so that air can circulate round the film. Reels with unplierced flanges should not be used. The hole in the centre of the reel is of standard size and shape so that it can be fitted to all microfilm readers. It should have a notch to allow it to be slotted into the driving spindle. In the *Archives nationales* the reels are put into cardboard boxes and kept in special cabinets.

Security copies, which are not intended to be used for research purposes, can be kept in 120m reels. If the camera can take 120m reels the metal containers in which the unexposed film is bought can be used for storage of the security copies. This very simple method of storage is very convenient when the films have to be washed or possibly printed.

2) Conditions for storage of film

While manufacturers are trying hard to provide more durable film (they are all now non-inflammable), some precautions have to be taken to increase their storage life. These are as follows :

a) **Physical requirements.** The two main enemies of film are excessive heat and humidity. Sudden changes in temperature cause harmful condensation ; and the storage area must therefore have a uniform temperature of about 18°C.

The hygrometer reading should be constant. This poses the question of storage of film in climates with high seasonal humidity. Security copies should be sent for storage to regions where the climate is more suitable.

b) **Chemical conditions.** Even when care is taken in the storage of films, they are sometimes found to be covered with dust and unwanted chemical and biological substances. The films then have to be washed in very pure water. Security films should be washed periodically. This supposes that special equipment for this purpose is available. This means that security film stores must have the equipment to meet these requirements, including washing and viewing the films.

Ageing tests for film do not give very exact results. It is therefore necessary to view security films from time to time (for example, every five years), so that those which are beginning to deteriorate can be withdrawn.

Precautions for films which are in daily use are less stringent than those which have to be observed for security films. The movement of films through microfilm readers is always likely to damage them, and it is practically impossible to prevent dust from the readers falling on the film. In these circumstances therefore it does not matter so much if all the storage conditions are not fully fulfilled (for example, air-conditioning).

D) ACCESS TO THE FILMS

Access to film is provided by means of microfilm readers, which in most cases require some degree of darkness. The microfilm reading room should therefore be separate from the normal reading room. It is likely, however, that in future more and more readers will be available which can be used in full daylight.

Most of the readers now on sale are not wholly suitable for use by researchers. These are the requirements :

-- The reader should be able to take both 35 and 16mm film, and both perforated and unperforated film (in some cases it would be sufficient for a reader to take only unperforated film).

-- The reader should have a variable magnification ratio, which means that it must be possible to enlarge parts of the image. This is very useful when reading some documents.

-- Equipment with a very high-powered light-source should be avoided, as this could damage film which is under the light for too long.

-- The film carrier must release the film automatically as it is moved on, or it must be designed in such a way that the film cannot be scratched by dust particles.

Certain other precautions have to be taken. The films must not be unrolled roughly ; the searcher must not touch the film with his fingers ; the film must not be rewound on the microfilm reader, but on a device called a film winder.

The clarity of reproduction given by a microfilm reader can be measured by a test card, which is only a standard piece of film with a series of dots which can check the definition at all parts of the image.

On some readers, the reel of film is automatically unwound. With the small amount of use readers get in an Archives repository, such a system is only worth using for viewing card indexes.

IV. ARCHIVAL OPERATIONS

The arrangement and description of microfilm requires special treatment ; in fact, it needs its own special inventories and lists as well as the conventional means of reference used for archives.

A) ARRANGEMENT

We have already given some attention, if only briefly, to the way in which documents for microfilming should be arranged. This arrangement is no different from that for normal documents. Films should therefore be arranged in order of the archival references of the documents being copied.

The problem will be different when documents come into the Archives in the form of microfilm. Then it will be necessary to accept the rules followed when the documents were filmed. It would be desirable in future for government departments whose archives are the responsibility of central or regional archives directorates to microfilm documents (usually substitution microfilming) only in accordance with rules established by the Archives.

B) REFERENCES

Security microfilms are usually given the references of the documents from which they were copied.

A very difficult problem arises with complementary and substitution microfilming. We believe that when the microfilming is done by the Archives itself, the films should be numbered as if they were to be kept in their original form. Each film will in fact have a normal archival reference.

The *Archives nationales* in France has given to each series of complementary microfilm a second reference comprising the number of the series, the code Mi (Microfilm) and the number of the reel in the series.

This can be explained as follows. Archives of the 'National' insurance companies came into the Archives in the form of complementary microfilm. They have therefore been given a reference in the series of business archives, 17AQ. Each volume and each bundle has a consecutive number in this series, as in the normal procedure for classifying archives. If at some later date the originals of these documents come to the *Archives nationales*, they will of course take the references which had been allotted earlier. But each reel contains copies of several volumes, and the whole group is on 26 reels. The film of this series was given the reference 9Mi. Each reel bears its own number, from 1-26, in addition to the AQ references which correspond to its contents. It is therefore a simple matter to find the reel which contains a given bundle or volume.

It is easy to understand why it is necessary to give archival references to reels of complementary microfilm. Some private archives have been given or transferred to the *Archives nationales*, partly in original and partly in microfilm. To make sense of the list both originals and film should be given the same references. With business and private archives generally it is regarded as more logical to do this even when the whole group is in the form of microfilm.

It is more difficult to give references to substitution microfilms when they are transferred to the Archives. In most cases a reference should be given to each unit of film, which are most often reels of varying length. In this way are the accounts of a business firm put into the Archives in the form of microfilm; each reel of film has an archives reference; and references to archives and films are identical.

C) ACCESSIONING OF FILMS

When microfilm is received by the Archives, each unit should be entered in an accessions register and given a number, which is

different from the reference number of the film. The film reference corresponds to its classification ; the accession number corresponds to the order in which the films were made. A record group which is in the form of microfilm might come into the Archives in batches at different times. All the reels should be given a reference which belongs to the group ; but they will also be given different accession numbers which refer to details of the filming of the separate batches which are noted in the accessions register.

The accessioning of films is therefore effected in chronological order. It will then be possible later to check the standard of the films. Accessioning must be done carefully. Numeration can be either in an indefinitely continuing series, or in an annual series. The following details should be recorded :

- the accession number ;
- date of making the film ;
- name of the body which made the film ;
- name of the camera operator ;
- dimensions of the film ;
- kind of film (ortho, pancro, etc.) ; kind of base ;
- number of copies ;
- place where other copies are kept ;
- prints ;
- archival reference ;
- make-up (strips or reels) ;
- reference to storage location ;
- remarks ¹.

It is more difficult to give details of films which are not made by the Archives itself. Two examples can be given :

-- The film was ordered by an archives repository and made by the microfilm unit in another organisation. The unit making the film should then be asked to give all the details required for the accessions register.

-- A film transferred to the Archives was made by an unknown organisation. The date of accession should be noted ; and under 'remarks' everything known about the film at that time should be noted. The name of the transferring agency should also be recorded.

A careful record should be made each time a print is made from a film, whether it is made for an individual or an overseas organisation. A card index should be made of films from which

¹ Some information could be recorded in separate registers, in particular, details of prints made from the films. This is very useful when original copies have been lost and copies made from another print could then be obtained.

such prints are made, arranging the cards either in order of the reference of the film or of accession numbers.

Accessioning of film strips is more difficult, owing to their large number ; but the difficulties, and the time involved, should not prevent this task being undertaken. Photographers should record details as each separate unit is completed.

D) LISTING

There is no reason for a list of original archives to be different from a list of microfilm copies. A list should contain information which is considered likely to help the user ; and the form in which the material is preserved is of little importance.

Therefore, if records which are to be microfilmed have been arranged like ordinary documents and given references according to usual methods, the lists should be made in the same way. The list must, however, indicate which documents are kept in the form of microfilm, in the same way as it would distinguish between volumes and bundles which are often stored in different locations. Volumes might be marked with an asterisk, and documents in microfilm with a small cross. For example :

- 1 AQ* I, Banque Camondo, registre journal.
- 17 AQ⁺ I, Compagnie d'Assurances 'La Nationale-Vie',
Procès verbaux du Conseil d'administration.

The first item is a volume, the second is a microfilm.

Different solutions to this problem will probably be adopted by national Archives in different countries ; but it would be preferable to have international agreement on a standard method of indicating this.

It is obvious that such indication would be used only for references to complementary or substitution microfilms. The normal reference of a document should be used otherwise, even when a searcher uses a security microfilm instead of the original document.

It is more difficult to make a list when archives are accessioned in the form of microfilm. It is impossible, or at least very difficult, to find out how the documents were arranged before they were filmed. It is certainly no longer possible to reconstruct the original arrangement. The only possible answer is therefore to construct a list frame by frame. If the documents were in files the task is easier ; but sometimes the list will have to be made on an item by item basis. The disastrous chaos which can follow some microfilming operations can be prevented only if Archive directorates take steps urgently to control microfilming in government departments. There is still time to do this ; tomorrow may be too late.

Some lists of microfilms are very useful. It is therefore worth publishing a catalogue of microfilms which either individuals or national or foreign academic bodies might wish to have. The United States have recently published such a catalogue, which contains particularly archives of the State Department and of overseas posts. Anyone can purchase copies of the film in which he is interested ; the price in dollars is shown against each item. Poland has done the same. In Spain also, the '*Servicio nacional de Microfilm*' now publishes a periodical list of the microfilms it has made.

V. MICROFILMING POLICY

We are now perhaps in a position to decide what are the essential features of a policy which is aimed at a more orderly and logical approach to the problems of microfilming.

A) ORGANISATIONAL PROBLEMS

The recent publication of the *Travaux du Comité central d'enquête sur le coût et le rendement des services publics* (3rd and following reports, Paris, 1950) gave the opinion that so far no general principles had been developed for the use of microfilm, and that a careful study of its problems was needed. The same observation has been made by similar bodies in other countries, Canada for example.

In France, a finance law of 7 October 1946 gave a monopoly of microfilming in government departments to the government printers. It was expected that there would be a large central photographic laboratory ; but this was never established. Difficulties were foreseen if government departments had to transport documents to and from the central unit in order to get them microfilmed. The Committee was also opposed to the monopoly, which did not seem feasible in view of the great number of different uses for microfilm and the consequent need for specialised staff and different operating principles.

It would be difficult, but not impossible, to set up microfilming centres for each *département*. At present microfilming units are most often found in *Archives départementales*, but sometimes in other departments of the *préfecture*. Some universities would also like to establish microfilm centres. It is quite difficult to imagine a single microfilming laboratory which would give a common service to all agencies of a *département*. Such a unit could only be of modest size and could not have all the necessary equipment. The copying of archives by microfilming requires a certain sequence

of operations and cameras with specific standards, which ordinary agencies do not need. Therefore the pooling of units into a single centre would, in the short term, prove harmful to some of its users.

Another problem arises from the need to provide for the situation where the high cost of equipment means that too few cameras are available. It will then be necessary sooner or later to turn to the regional centres which provide services to public departments, or possibly to parastatal bodies (such as nationalised companies). These will have at their disposal both fixed high-output cameras and portable cameras ; in short, they will have all the equipment which can meet all possible requirements and which can be carried around with a staff capable of providing a service to neighbouring *départements*. Each *département* should have for its daily needs a small camera which could meet its essential requirements. Only in exceptional cases would it call on regional centres for assistance.

B) FINANCIAL PROBLEMS

Part of the cost of these centres, at least the cost of cameras and equipment, will obviously have to be borne by the State. Operating costs would be covered by payments made by agencies using the service, the remaining costs being charged partly to the *départements* using the centre and partly borne by the State. If these centres were given financial autonomy, they could copy documents for members of the public, provided this was done on a commercial basis and did not compete with commercial photographers.

C) MANAGEMENT PROBLEMS

A committee could be set up composed of the principal users (governments, the Archives, nationalised bodies, universities, etc.) to decide exactly what policy should be followed. The committee would be given the task of agreeing on the requirements of users and making decisions on ways of meeting them. The general lines of a policy can be planned, subject to later modification. It is unlikely that a central microfilming unit would be established in Paris, where the situation is most complex. In the provinces the needs are rather less. There is no doubt that in the future the main use of microfilm will be by the government. The attitude of a government department towards the use of microfilm is not the same as that of the Archives. Public departments need to keep close at hand a considerable number of files ; and, as they cannot have archive repositories in the departments themselves, they find that microfilm can solve their problem.

There can be three kinds of microfilming centre :

- 1) small centres, in principle one for each *département*, equipped with one small camera and modest facilities for processing ;
- 2) subsidiary centres, equipped for filming but without cameras ;
- 3) regional centres, with high-output fixed-position cameras as well as back-up cameras which can be dismantled and made portable for the staff to take with them to the various agencies served by the centre. Films could be sent to the regional centres for processing if it is considered undesirable for smaller centres to have equipment for this purpose.

Additions should be made to the rules which require compulsory transfers to the Archives and which give the latter control over the destruction of public records ; these new rules should forbid microfilming for purposes of substitution unless it is supervised by the Archives. If government departments are compelled through lack of space to put a series of files on microfilm, they should be required :

-- either to transfer the files to the Archives as soon as the microfilming is completed (which would obviously lead to higher costs with the expense of both making the microfilm and storing the originals) ;

-- or to have the microfilming done by the Archives, or at least under its supervision. In this case a security copy could be deposited immediately in the Archives. It would then be easier to deal with arrangement, making the film and supervising its use (washing, viewing).

These regional centres should also be put under the control of the Archives, as the microfilming will be confined almost entirely to public records. There will be very little need for microfilming of material within the field of documentation. Officials from the Archives should therefore be put in charge of these centres in order to ensure uniform operating conditions for microfilming.

The Archives will plan and equip secure storage places for security microfilm.

Such a policy might appear to be too ambitious and expensive ; but in fact this is not so. Today a number of public departments proliferate microfilming units which are ill-equipped and are not very productive. Control over the creation of such units is impossible, as the expenditure passes under the funds for unspecified equipment and material. The great number of different rules which are applied to microfilming operations are likely to cause irreparable muddle ; and it will be almost impossible for Archives to use the films when they get them at a later date. It is quite certain that the proposals made here will not only provide the means of keeping up with technical developments, but will also prevent much loss of time, much muddle and the waste of valuable funds.

New information technology and archives

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This article notes the slow response of archivists and records managers to new information technology and considers areas where it is being applied. Applications covering most fields of archival and records management activity are given: the management of records centres and archives; the intellectual control of records and archives at the several levels of arrangement, including computer indexing and on-line retrieval; the preservation of machine-readable records. The adaptation of systems devised for other information fields, the co-operative development of archival systems and the impact of mini- and microcomputers are considered. Areas for further study and development are identified.

Introduction

Archivists and records managers have been much slower than other information professionals to make use of new information technology. This may be due partly to an innate conservatism within the archival profession, but there are also practical reasons for the slow response. The nature of archives is such that archivists cannot obtain the financial benefits which are available to librarians from computerizing their acquisition, cataloguing and interlibrary loan systems, often linked to centralized bibliographic data bases; the level of use rarely justifies the equivalent of the computerized library circulation system. Moreover, there are doubts as to whether the nature and urgency of inquiries by archival users justify the cost of large-scale computerization, especially when retrospective conversion of existing finding aids is involved. Nevertheless, some archivists have considered it worthwhile to computerize selectively and examples may be found of computer applications in every area of archival activity.

Management

The application of computers to the management of archival institutions and the physical control of their holdings has been more common in records centres than in archives proper. The bulk handling of records in a records centre is not much different in principle from the bulk handling of other commodities in a warehouse and it is, therefore, an obvious candidate for automation. As part of such automation it is possible to use a computer system to accession records, provide accurate and up-to-date listings of holdings, identify and locate records, facilitate the efficient use of storage space and provide for the automatic notification of due-dates for such activities as appraisal, destruction or transfer to archives. A further refinement is the possibility of recording automatically the recall of records to originating agencies and their return to the records centre after use, enabling

usage to be monitored and overdue records to be chased. The more extensive the holdings and the greater the level of activity of a records centre, the greater the justification for such a system. Hence it is not surprising that the most notable applications in this area have been the PRIAM system of the Cité des Archives Contemporaines of the Archives de France at Fontainebleau¹ and the NARS-5 system employed in the records centres of the National Archives and Records Service of the United States. Both operate at the level of the series rather than the individual document, although it is intended that stage three of PRIAM will be a facility for producing inventories and undertaking subject searches.

Computerized systems have also been introduced into records centres by commercial organizations, local administrative authorities and other institutions.² It is notable that several such applications have been in new records centres, where retrospective conversion has not been a problem and where anticipated activity at some future date rather than current activity has been a justification. Also it has been not uncommon for records centres of such institutions to have accession documents in a state of disarray and with no existing finding aids and the use of a computer has been necessary to bring holdings under initial control. For this reason records centres in subnational institutions usually operate on the basis of the individual item rather than of the series. However, there must be some doubt as to whether control at this level is justified where the majority of documents are never consulted between accession and disposal.

The physical control of archival holdings with the aid of a computer is less common. As with the control of records-centre holdings, such applications have more obvious benefits in large national archives and the two most developed systems are NARS-A1 of the National Archives of the United States,³ and PROSPEC, used for modern departmental records in the Public Record Office of the United Kingdom.⁴ These are computer-assisted rather than computer-based systems, input being by batch processing and output being in conventional formats. They operate primarily at series or class level and their advantage over conventional systems is that they can be more readily updated as new series or classes are accessioned or additions are made to existing ones. Similar systems for the administrative control of archival and manuscript holdings include the MRMC II system of the Manuscripts Division of the Library of Congress of the United States⁵ and the PARADIGM system of the University of Illinois at Urbana-Champaign.⁶

In addition to, and separate from, PROSPEC the Public Record Office operates the PROMPT system to control the issue of documents for consultation by the users of its new record office at Kew.⁷ Requests for documents are keyed in by users at terminals in the reference room and, after validation, transmitted direct to the appropriate storage floor and printed out there; the return of documents is logged by means of an optical mark reader; a record of usage is maintained; and various statistical reports are produced automatically. It is estimated that the system adds about 20 per cent to the functional capacity of the office. It is, however, questionable whether such a system would be justified with a level of demand much lower than that at Kew (1,500 to 2,000 documents produced and returned per day).

A different management application is that of the Sub-Dirección General de Archivos of Spain, which uses a computer to codify and analyse the subjects of research of users of archives throughout the country.⁸

Intellectual control

When the use of computers in archives was first considered in the 1960s, it was with the expectation that they would provide a means of access to information at the individual paper or page level. However, indexing at this level proved to be disproportionately costly. Moreover, although the indexing of the names of persons and places proved relatively straightforward, subject indexing was found to be more difficult. Consequently less ambitious systems, operating at a higher level of archival arrangement, were adopted.

At the level of series, class or collection, NARS-AI, PROSPEC, MRCM II and PARADIGM are more than management systems and provide an element of intellectual control by means of their general descriptions, which enable subject access to be effected at that level. The State Archives of Israel also provides computer-assisted access at this level.⁹

Other systems operate at the intermediate level of the individual file or folder. They vary in complexity from fairly simple list-processing systems in which a limited number of closely defined fixed-length fields (often confined to persons and places) are manipulated into several different orders (alpb¹ abetical or chronological) but without any changes in the internal structure of the fields, to permutating systems in which more complex subject strings are analysed into their several components, which are then manipulated into the desired orders. Into the first category fall indexes undertaken by the Newcastle University Computing Laboratory for the Public Record Office¹⁰ and much of the early work on computer-assisted indexing in the Archives de France.¹¹ In the latter category the most notable example is the SPINDEX system developed and maintained by the National Archives and Records Service of the United States and employed by a considerable number of archives in Canada and the United States. It is now in its third revision, SPINDEX III.¹² Between these extremes there is a wide variety of systems of greater or lesser complexity.¹³

Work on full text-processing systems, both in batch mode and for on-line retrieval, has also taken place in a number of archives, but the slow speed of input and its high cost at present makes it practicable to use such systems only for restricted categories of archival material and their immediate future appears to rest more with the type of content analysis of selected documents being undertaken by historians in a number of countries rather than as a tool of archival access.¹⁴

Adapted information systems

Many of the systems used by archives and records centres have been devised specifically for their purposes, but others have been developed from systems created originally for other areas of the information field. Bibliographic systems which have been adapted for archival use include MARC, on which the MRCM system of the Library of Congress Manuscripts Division is based,¹⁵ the INSPEC system of the Institute of Electrical Engineers of the United Kingdom, from which PROSPEC was developed,¹⁶ and the ASI system developed at Sheffield University, which is used by the Foreign and Commonwealth Office of the United Kingdom to control its current records.¹⁷ The Public Record Office and the Scottish Record Office have also experimented with the PRECIS indexing system of the British National Bibliography (British Library), but have found the system, as currently developed, of limited value for archival application.¹⁸ On-line systems, such as STAIRS and its allied ATMS text-processing system,¹⁹ have also been used in archives. Use has also been made of systems developed primarily for

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the description of three-dimensional museum objects: the SELGEM system of the Smithsonian Institution has been adapted to handle information about the archives of the institution and of a number of other museums in the United States;²⁰ in the United Kingdom the GOS system of the Museums Documentation Association (formerly IRGMA) has been applied to archives in the National Maritime Museum and the British Antarctic Survey Archives and is the subject of wider interest among archivists.

Inter-archival co-operation

Very few archives or records centres possess their own computers and when they have contemplated computerization, they have often been under strong pressure from parent organizations to make use of available in-house computer facilities. This has encouraged the growth of a multiplicity of archival systems, especially in countries such as the United Kingdom or the United States which do not have a unified archival system with central direction, involving much duplication of effort and tending to produce systems of limited portability. A notable exception is SPINDEX, for which a user group, the SPINDEX Users Network (SUN), provides assistance and co-operation in system use and development.²¹ However, the existence of SPINDEX has not prevented the creation of a wide range of other archival systems in the United States.²² To meet this situation the Society of American Archivists has established a National Information Systems Task Force to develop data standards and a data interchange format for archives and manuscripts.²³ In the United Kingdom the need for a data interchange format has been regarded as less urgent since the established National Registers of Archives already provide a centralized information system, albeit one based on conventional finding aids. However, a number of initiatives have been undertaken by the British Society of Archivists towards the development of a general computerized system which could host the data systems of individual archives. A Subject Indexing Classification Scheme, using alphanumeric notation which may have had merits when the scheme was planned in 1967, at a time when computers could handle efficiently only coded data, but which is now seen by many as too complex and rigid for general use, was published in 1975 and has been adopted in a few archives as a basis for conventional indexes.²⁴ More recently a pilot project was undertaken to test an adaptation of PROSPEC to produce guides to the holdings of a wider range of archives, with the potential for producing also inter-archival topic guides. The technical feasibility of the adaptation (PROSPEC-SA) was demonstrated, but intellectual problems, especially those of vocabulary control, were revealed and no archive has yet taken up the system.²⁵ Currently there is more interest in producing a data standard for archival description with the objective of facilitating multiple use of a host computerized system for the production of individual finding aids.

Internationally the opportunity for interchange of information about computer applications is provided by the Automation Committee of the International Council on Archives. In addition to arranging regular meetings at which members and corresponding members share their experiences, it publishes a journal, *ADPA*, devoted to computer applications in archives, and a series of guidelines for archivists contemplating computerization.²⁶

Machine-readable archives

New technology is beginning to impinge on archives and records management not only in its potential for use to provide better access to holdings, but also in its

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effect on the nature of the documentary material which is being produced by administrative agencies. Already many statistical and case records are being created in the form of machine-readable records, which require a computer and associated software for their interpretation and further use; in the future we are faced with even more records in this form as the 'paperless office' (or 'less-paper office') becomes more common.²⁷ The problems presented by such records include the impermanence of the media on which they are held and the wide variety of formats and operating systems employed. At present it is generally accepted that the only viable preservation medium is archival quality half-inch magnetic tape, which should be stored under special environmental conditions and rewound and transcribed at regular intervals. A more permanent storage medium is being sought and one which shows most promise of being suitable is the digital video-disc.²⁸ At present machine-readable records are mainly of concern to national archives, and those of France, the Federal Republic of Germany, Sweden, the United Kingdom and the United States have already done considerable work in this area,²⁹ but it is only a matter of time before they become the concern of all archives.

Technical advances

Recent technological advances—the development of the microchip and of compact mass-storage devices—have brought computerization within the range of a greater number of archives and records centres. The advent of the minicomputer, the microcomputer and the word processor makes it feasible for archival institutions to purchase or rent their own computer hardware and to be independent of their parent organizations' mainframes and of computer bureaux. Among archives which already have their own small computer systems are the Public Record Office (for PROMPT), the Maryland Hall of Records and the State Archives of Israel. Of especial interest in this context is the MARS system, based on a 32K processor, under development at the Archives of Appalachia in the East Tennessee State University. This will handle various administrative tasks, compile an accessions/location register, provide intellectual control at collection level and produce more detailed inventories, which may be accessed either as print-out or on-line.³⁰

Further study and development

In spite of recent technical advances and the experience gained by the pioneers of computer applications in archives, many archivists and records managers are still hesitant about adopting new information technology and will continue to remain so until more research and development has been undertaken in both the technical and intellectual aspects of the subject.

On the technical side the general lack of standards within the mini/micro-computer industry will undoubtedly be overcome by commercial pressures; experience may provide software for small computers which is more suitable than that available at present and which is portable; but until a cheap and accurate optical character reader, or some other means of reducing considerably the high cost of data input (which can be the most expensive element of an application), is available, the problem of retrospective conversion of existing finding aids will remain a disincentive for well-established archives.

On the intellectual side two areas appear to require greater study by archivists: vocabulary control and user requirements. It is generally agreed that computerization of findings aids calls for some measure of vocabulary control of subject

access, but there is no such general agreement as to just where that level of control should lie between the extremes of completely free text and a rigid set of approved subject terms. The experience of the Public Record Office in indexing its PROSPEC guide suggests that subject entry as specific as the level of access requires but within the controlled hierarchy of an automatically generated thesaurus presents the best compromise.²¹ However, it is not yet demonstrated that such an approach would work at lower levels of access than class, series or collection or that it could serve as a basis for an archive's union index or data base. Moreover, it is by no means clear that a union index or data base would be in the best interests of users. Recent research has suggested that the traditional 'provenance method' of subject retrieval may meet the needs of users of archives more effectively than subject specific 'content indexing'.²² It may be, therefore, that it would be preferable to concentrate on producing computer-assisted finding aids on traditional lines rather than to introduce computer-based systems. However, more research into user needs is required before this conclusion can be regarded as definitive.

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INTERNATIONAL ARCHIVAL DEVELOPMENTS

Unesco and archives development

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Traces the development of Unesco activities in support of archival systems and services from 1946 to the present; describes major projects and activities under both the Regular Programme and Budget and the Participation Programme; indicates the origin, scope and character of the RAMP programme initiated under PGI in 1979; and summarizes projects and activities completed, in progress, and projected under RAMP as part of PGI's efforts to meet the information needs of the 1980s.

A frame of reference

Unesco's concern with archives development may be divided into three relatively distinct periods: from the establishment of the organization in 1946 until 1967; the decade from 1967 to 1977; and from 1977 to the present. During each of these periods Unesco undertook a series of activities in support of archives, but in the past thirty-six years both the nature and the scope of these activities have undergone significant changes.

From ICA to DBA, 1946-67

Unesco recognized from its inception that in order to deal effectively with the challenges it faced in the fields of education, science, culture and communication, in many of its activities it would need the support and active co-operation of specialized and professional non-governmental organizations. In fields where such organizations did not exist at the international level, such as the field of archives, it therefore assisted in their creation. Thus, at the request of a number of archivists from the United States, Unesco convened in Paris in 1948 a small international group of experts to advise it on archival needs and problems. With the support of Unesco this group proposed the creation of an International Council on Archives (ICA), which was formally organized two years later in Paris during the First International Congress on Archives.¹

In preparation for the congress the expert group and Unesco planned the compilation of a bibliography of guides to European archives published since 1934 and of guides to archives in other countries published since 1900. (The International Institute for Intellectual Co-operation, organized after the First World War, had in 1934 published the first, and what proved to be the only, volume (Europe) of a projected multivolume *International guide to archives*.) This bibliography of guides² was the first publication resulting from co-operation between Unesco and ICA, a co-operation that has since expanded into all areas of archival activity.

In 1954 the eighth session of Unesco's General Conference authorized the

creation of a microfilming unit that would be placed at the disposal of Member States to assist them in ensuring the preservation of their archives and rare library materials. Unesco provided for loan of the technical equipment and the services of an expert in microphotography to do the filming and to provide practical training, while the country requesting the service designated the materials to be microfilmed and provided the film and all necessary facilities.

This unit undertook filming in eight Latin American countries, and a guide to the more than 2 million pages of material it filmed was published in 1963 by the Pan American Institute of Geography and History under contract with Unesco. Unesco also contracted with the institute to maintain copies of the microfilm at its headquarters in Mexico City, and with the Centre for Scientific and Technical Documentation in that city to make copies of the microfilm available for purchase at reduced prices by research institutions and scholars. The microfilm unit then moved to the Arab states, and copies of the microfilms it made in four countries in that region were placed in the Cairo Institute of Manuscripts, where the Centre for Scientific Documentation of the Council for Research assisted in making sale copies available. In 1962 the twelfth session of Unesco's General Conference authorized the creation of a second microfilm unit, which was active chiefly in five countries in South-East Asia. Copies of the microfilms it created were eventually deposited in and made available from the Oriental Library in Tokyo.³

A second major activity during this period was the development in conjunction with ICA of a long-term project for the preparation and publication of several series of 'Guides to the sources of the history of nations'. This project, which was approved by Unesco's General Conference at its tenth session in 1958 and is still continuing, is intended to make known to researchers, particularly in developing countries, the sources for the history of their countries that are available in foreign, chiefly European and North American, archives. The first series, on sources for the history of Latin America, currently consists of eleven guides published between 1966 and 1976. The second series, on sources relating to Africa south of the Sahara, includes nine guides that appeared between 1970 and 1978, and in the third series, on archival sources for the history of North Africa, Asia and Oceania, five guides have appeared to date.⁴

A third area of Unesco activity during this period was that of professional publications. Since the creation of ICA in 1950, Unesco has granted to ICA an annual subvention which has been used primarily to prepare and publish the journal *Archivum*. The former *Unesco bulletin for libraries* (since 1979 renamed the *Unesco journal of information science, librarianship and archives administration*) published a number of articles on archives,⁵ and in 1966 ICA published both a manual in English and French on archives in tropical regions, prepared under contract with Unesco, and a general study on archival buildings and equipment for which it received financial assistance from Unesco.⁶

During these early years, however, Unesco's activities for the promotion of archival development were undertaken largely in response to specific requests from individual Member States. These activities generally took the form of providing (a) fellowships and study grants for training; (b) funds for the purchase of specialized equipment and supplies; (c) financial assistance for national and regional professional meetings and for specialized publications; and (d) consultants to advise on a wide variety of archives problems, such as the establishment of a new service or the reorganization of an existing one, the drafting of archives legislation and regulations, the planning of new buildings or of restoration or reprographic facilities, and the planning and conducting of training for professional and technical personnel. Most of these activities were of relatively short duration and

were not part of any long-term plan. During this period the responsibility for archives development, as well as for library development, was divided between several units of the Unesco Secretariat, a situation which made difficult the formulation and execution of a broad-based and continuing programme. It was largely to overcome these difficulties that Unesco in 1967 created a separate Department of Documentation, Libraries and Archives (DBA).

DBA, NATIS and UNISIST, 1967-77

With the organization of DBA in 1967 the archival activities of Unesco expanded in both scope and number. Requests for direct assistance from Member States continued to increase annually, especially under Unesco's Participation Programme, and in addition to providing fellowships and study grants, equipment and short-term consultancies, funds were increasingly made available for organizing and conducting national, regional and international seminars, workshops and similar professional training activities.⁷

To assist in its own programme planning, DBA in 1970 convened a group of archival experts to advise it on defining guidelines for a policy on archives development. The major recommendation of this group was that 'the main areas in which Unesco effort should be concentrated are in the planning—preferably on a regional basis—of archival development, research and assistance, especially in the field of training and technical guidance, and in the protection of the archival heritage of mankind'.⁸ In accordance with these guidelines DBA organized pilot projects in archives administration in the Ivory Coast and Costa Rica, supported international seminars on public records management and on automatic data processing in archives, and with financial assistance from the United Nations Development Programme (UNDP) created two regional professional training centres, one at Dakar for French-speaking African countries, the other at Accra for English-speaking African countries. Plans for the creation of similar training centres in Asia and Latin America, and for associated centres at the same locations to provide technical training in archival restoration and reprography, could not be implemented because of insufficient support from the countries concerned and particularly because of changes in UNDP programme emphasis, including a sharp reduction in the number of regional projects.⁹

A series of professional and technical manuals and studies, based in part upon the recommendations of the expert group, were also prepared for Unesco by ICA under contract or with financial assistance from Unesco, and were issued by Unesco and ICA either as sale publications or as documents. They included, in the Unesco series 'Documentation, libraries and archives: studies and research', studies of a draft model law on archives, of the conservation and restoration of archival materials, on the organization of intermediate records storage, i.e. records centres, and on planning archives buildings in tropical countries.¹⁰ Studies prepared for and issued either in the Unesco document series or by ICA dealt with: the role of archives in the public administration and the national planning policy of developing countries (parallel studies in French and English); archival training schools and courses; basic standards and methods in preservation and restoration workshops applicable to developing countries; basic standards for equipping, maintaining and operating a reprographic laboratory in archives of developing countries; the preparation of a guide to the archives of the United Nations and other international organizations; legal questions in the application of microfilms; principles and criteria to be applied in negotiations involving archival claims; and a survey of facilities for the conservation and restoration of archives.¹¹

Paralleling these activities of DBA in support of archives development were its activities in promoting libraries and documentation services. The result of this overall experience was that the work of DBA increasingly came to centre around a programme for the development of national information systems which became known by the acronym NATIS. A series of consultations with groups of experts and national and regional seminars on this subject culminated in an Intergovernmental Conference on the Planning of National Documentation, Libraries and Archives Infrastructures, held in September 1974 in Paris.¹² This conference adopted a series of recommendations which supported the NATIS concept and the work that DBA had already undertaken in preparing and issuing a series of studies on the implications of NATIS. Among others these included, in the published 'Studies and research' series, two general works on the planning and organization of national infrastructures and information systems, and, in the documents series, studies on planning information manpower and on establishing a legislative framework for NATIS.¹³

The emergence of the NATIS programme, however, was preceded in Unesco by the development of a programme in the field of information—the intergovernmental UNISIST programme of Unesco's Division of Scientific Information and Documentation, which had been adopted by the seventeenth General Conference of Unesco in 1972. UNISIST, which is a name rather than an acronym, was planned and implemented as an intergovernmental programme for the compatible development of scientific and technological information systems and services in order to facilitate their interconnection and to improve information transfer. Rather than authorize the creation of still another intergovernmental programme in the information field employing another acronym, the nineteenth session of Unesco's General Conference in 1976 decided instead to authorize the merger of the NATIS concept of overall planning of national information systems with the UNISIST programme. The merger was intended to eliminate the inevitable duplication and to strengthen the effectiveness of Unesco in the field of information systems and services.¹⁴

PGI and UNISIST

This General Conference decision was implemented in March 1977 when most of the functions and activities of DBA were combined with those of the UNISIST programme into a new Division of the General Information Programme (PGI, after the title in French). Operationally, this merger set the NATIS concept of national information systems within the international and organizational framework of UNISIST, which was originally based on the idea that the only realistic method for developing a world science information system was through voluntary co-operation between systems, services and governments, aided by internationally formulated and accepted guidelines. Although deciding not to use the NATIS acronym, the General Conference did adopt the proposal that the term UNISIST would remain attached to those activities in the new general programme that corresponded to the existing intergovernmental UNISIST programme. Thus the UNISIST term continues to be used and, following the 1979 Unesco Intergovernmental Conference on Scientific and Technological Information for Development (UNISIST II), both the term UNISIST and the phrase 'scientific and technological information' have increasingly been interpreted as referring to information necessary for the development process, especially in the less developed countries.¹⁵ To assist in the formulation of the expanded programme of the new division, and to advise on its development, the General Conference authorized the creation of

an Advisory Committee and an Intergovernmental Council composed of representatives from thirty Member States elected by the General Conference.

Structurally, PGI was organized to correspond to the major subobjectives or themes of Unesco's Objective 10.1 (Development and promotion of information systems and services at the national, regional and international levels) in its Medium-term Plan for 1977-82. These themes, which also reflected the organization of the original UNISIST programme, are:

To promote the formulation of information policies and plans at the national, regional and international levels.

To promote and disseminate methods, norms and standards for information handling.

To contribute to the development of information infrastructures.

To contribute to the development of specialized information systems in the fields of education, culture and communication, and the natural and social sciences.

To promote the training and education of specialists in and users of information. Separate sections were established to plan and implement projects and activities under each of the themes except the fourth, which primarily involves co-ordination with other sectors in Unesco.¹⁴ Among the above themes PGI has been directed to give high priority to the development of information infrastructures and to training and education, while still recognizing the basic role of the remaining themes as prerequisites for a coherent and effective programme. Furthermore, under each theme PGI has been directed to give particular attention to:

The needs of all users and potential users who require information to make their proper contribution to the development process.

A user-oriented approach in designing and developing information systems and services.

The special needs of the least developed countries.

The importance not only of improving the flow of and access to world sources of information, but also of encouraging creativity, capacity for innovation, maximum utilization of local information resources, and developing endogenous capabilities.

The need to facilitate the selection, use and adaptation by Member States of advanced information and communication technologies.

The importance of evaluating activities undertaken and of sharing results with and among Member States.

The programme of PGI for the 1977-78 biennium was necessarily a combination and a continuation of the activities of the two units which had been combined to form the new division, with as many as possible of the former DBA activities placed within the UNISIST organizational framework. In terms of archival development, the Section for the Promotion of Information Policies and Planning helped to support the activities of the ICA Section of Archivists of International Organizations, and contracted with it for preparation of a preliminary guide to the archives of United Nations Agencies.¹⁵ The Section for the Promotion of Methods, Norms and Standards provided financial assistance to ICA to organize meetings of working groups which began preparation of an international multilingual glossary of archival and records management terms and of a statistical model for archival agencies and records centres.¹⁶ The Section for the Training of Specialists and Users organized, through the Arab Regional Branch of ICA (ARBICA), a regional seminar in Khartoum on archival training needs in the Arab states, provided instructors and fellowships for a series of regional training courses in restoration and reprography organized through the South Asia Regional

Branch of ICA (SARBICA), and continued to provide experts to lecture on specialized subjects at the Dakar and Accra Regional Training Centres.

Most of the archival activities were concentrated in the Section for the Development of Information Infrastructures. The pilot project that had been initiated in Costa Rica was concluded with a seminar to evaluate and share the results of this experience with Member States in the region. Assistance was provided to CIBAL, the international centre for study of the sources of Balkan history, as it established its programme of research and publication of archival materials. A workshop was organized in Kenya on the use of reprographic techniques in developing countries, and, in close co-operation with ICA and assisted by a meeting of experts, a plan of action was prepared for submission to the twentieth session of the General Conference on problems involved in the transfer of archives located in one country that relate to the history of other countries.¹⁹ In addition to these Regular Programme projects and activities, during the 1977-78 biennium the Infrastructures Section was also responsible for implementing nearly sixty additional short-term archival assistance projects under Unesco's Participation Programme.²⁰

Development of RAMP

In authorizing the establishment of an Intergovernmental Council for PGI, the General Conference had instructed the council to pay special attention to promoting the development of archives services as a factor in the preservation and presentation of the cultural heritage and of national identity, and particularly as a tool for administrative efficiency. The General Conference thus gave to PGI responsibility for promoting not only the development of historical archives, but also for emphasizing the establishment and development of what had emerged in a number of Member States as records management systems and services. These systems and services are essentially extensions of modern archival programmes to the entire life-cycle of institutional records. In many countries whose languages do not include the term 'records', this area of activity is frequently referred to as 'administrative archives' or 'current archives' as distinct from historical archives.

PGI's response to this General Conference instruction was to create in 1979, for the first time, a broad-based and long-term programme to promote the development of modern archival and records management systems and services, a programme designated RAMP (Records and Archives Management Programme). A draft outline of the new programme was prepared by the Secretariat and was used as the working document for a consultation held with archival experts in May 1979. The overall objectives of RAMP, according to the working document, would be:

To promote and assist in the creation of a full awareness and understanding of the value and uses of records and archives as basic information resources, particularly in relation to planning and development and in conjunction with other information resources.

To assist Member States, upon request, in the organization and development of the records management and archival systems and services necessary for full and effective utilization of these basic information resources.²¹

The working document for the consultation emphasized the multidisciplinary and interdisciplinary mission of PGI, and the need for the proposed programme to be fully integrated within the total structure of PGI in order to benefit from the other activities undertaken by each section of the division. It called attention to the General Conference resolution requiring that in the overall PGI programme

an appropriate balance should be achieved between information, library and archives activities corresponding to the needs of Member States, and that greater concentration should be sought in the implementation of the programme. The working document further explained that PGI viewed the proposed RAMP primarily as a coherent framework for the archival activities undertaken by PGI within its total programme. Since specific types of activities were being administered by the various sections within the division to which they related, there was a tendency for individual impacts to be reduced, and for each project and activity to become an end in itself, rather than contributing to the goal of an overall development of archival and records management systems and services as a component part of a co-ordinated general information programme. To group all archival activities into one section, however, would be to ignore PGI's responsibility to plan and implement a co-ordinated information programme organized by theme, not by discipline or type of institution.

For these reasons RAMP was developed as a conceptually coherent and functionally co-ordinated component or subprogramme of the overall PGI programme, regardless of the various administrative units that would be involved in its implementation. Finally, the working document emphasized the need for a more dynamic, user-oriented approach to archival development than had frequently been the case in the past, citing the pressing need for governments to have more convenient access to the information contained in their records and archives in order to assist in social and economic planning and development.²²

The expert consultation provided the Secretariat with criticisms and suggestions on the proposed programme in general, as well as with a critical evaluation of the specific proposals included within RAMP. It gave particular attention to (a) current and anticipated needs and developments in records management and archives administration in Member States; (b) alternative actions and projects to those proposed to assist in achieving RAMP objectives; (c) the relationship and priorities among the several themes; and (d) priorities within each theme for the short term (1979-80), medium term (1981-83) and long term (1984-85). In developing and implementing the proposed programme, the consultation underscored the need for greater initial emphasis upon the administrative rather than the cultural value of archives; for focusing upon records management systems and services to complement traditional archival programmes; and for giving adequate attention in the design and implementation of projects and activities to parastatal and non-governmental records, archives and manuscripts. It was felt that appropriate provisions should be included in legislation and regulations to ensure the preservation and utilization of such materials. Attention was also given to the obligations governments must assume if they wish to derive the benefits of modern records management and archival systems and services, and particular stress was placed upon the need for governments to provide adequate physical facilities for the protection of records and archives.

The experts agreed with the decision of the Secretariat that certain archival projects and activities would not be considered as part of RAMP. Thus actions undertaken as a contribution to the solution of problems involving disputed archival claims would constitute a separate component of the PGI programme. The separate identification of these particular projects was intended to reflect the importance attached to these problems by several General Conferences.²³ The Secretariat also noted that archival assistance rendered Member States under the Participation Programme and through projects executed for the United Nations Development Programme (UNDP) or through Funds-in-Trust could not be planned as part of a long-range programme, but that such assistance

nevertheless contributed directly to the achievement of the overall objectives of RAMP, and should be considered in programme and project review and evaluation. Regarding project evaluation, the group expressed a preference for providing evaluation mechanisms and criteria as part of pilot and other projects, rather than attempting evaluations after the projects and activities were completed and the need and opportunity to correct deficiencies had already passed.

Viewing the RAMP proposal as a whole, and in terms of previous actions by Unesco on behalf of archival development, the consultation expressed unanimous support for the proposed programme and especially for: (a) the co-ordination and concentration of Regular Programme projects and activities directly relating to archival and records management development within the unifying RAMP concept; (b) the emphasis on regional meetings in assisting in the development of national archival and records management policies and plans, the co-ordination of these policies and plans with those in the related information fields, and the effort to seek solutions to basic education and training needs on a regional basis; (c) the guidelines, norms and standards component of the programme; and (d) the emphasis on the development of modern records management systems and services, beginning with, but not confined to, the comprehensive scheduling and regularized disposal of semi-current and non-current records.

The final report of this expert consultation was used in preparing the proposed PGI work programme for 1980. At the 29 October to 2 November 1979 meeting of the Intergovernmental Council for PGI, which reviewed the proposed work programme, the programme element that most attracted the council's attention was RAMP, and the Secretariat was congratulated for its development of this coherent and long-term programme spanning all themes.²⁴ The final report of the expert consultation was also used in the preparation of the PGI 1981-83 programme and budget, and at its October 1981 meeting the PGI Intergovernmental Council, reflecting a number of statements made by delegates to Unesco's twenty-first General Conference, expressed its view that RAMP 'deserved full support'.²⁵ RAMP was thus incorporated into the overall General Information Programme, and is an integral part of the programme proposed for Unesco's second Medium-term Plan (1984-89).

Implementation of RAMP

In reviewing the implementation of RAMP to date, it should again be emphasized that not all of PGI's activities in the field of archival development are part of the RAMP programme. Specifically excluded, as noted above, are operational activities under Unesco's Participation Programme, projects executed under the United Nations Development Programme (UNDP) and through Funds-in-Trust, and projects and activities related to disputed archival claims. Also excluded are short-term consultant missions under the Regular Programme undertaken at the request of Member States; an annual subvention given directly to ICA; and a number of projects that jointly involve information, libraries and archives. It must also be recognized that the implementation of RAMP was and is necessarily dependent upon the financial and other resources available, or likely to be made available in the near future, to PGI, and that the effectiveness of programme elements selected for implementation requires both the co-operation and assistance of Member States and of the relevant international non-governmental organizations associated with Unesco, particularly the ICA. PGI has been very fortunate in receiving such co-operation and assistance with regard to RAMP. In the following summary of implementation of the programme, for example,

all contract work, unless otherwise indicated, has been carried out in close co-operation with ICA.

Since very few projects and activities are initiated and completed within a single calendar year, the following summary is organized by theme for the period 1979-82, rather than by annual work programme. For each project or activity is given the date initiated, a brief description where necessary and an indication of its status as of 1 June 1982.

THEME 1/01. INFORMATION POLICIES AND PLANNING

Statistical model for archival repositories and records centres

Unesco funded the meeting of the ICA Working Group in 1977 which planned and prepared the first draft of this statistical model, as well as a meeting of experts in 1979 which studied and extensively revised the draft after it had been field-tested in a pilot survey by the Unesco Office of Statistics in co-operation with ICA. The final and extensively simplified draft of the model has now been published by Unesco in English and French, and is currently being used by its Office of Statistics in co-operation with ICA in conducting a worldwide survey. The statistical model is also intended for use in specialized repository, national and regional studies, since it permits the recording and aggregation of a wide range of data at a number of different levels.

Guide to the archives of international organizations

Part I of this *Guide*, which includes the archives of United Nations Agencies, was printed in a preliminary version in 1979.³⁰ This version was revised and expanded and is scheduled for publication at the beginning of 1983 in English, French and Spanish. Part II, which will include the archives of international organizations and the papers of former officials that are located in other repositories, is currently in preparation. Part III, preparation of which will begin this year, will cover the archives of non-United Nations international intergovernmental organizations and of international non-governmental organizations.

Obstacles to access to archives

This study, initiated under contract in 1981, will be published in English, French and Spanish; it is in part initiated to serve as the basic working document for a proposed future expert consultation on this important problem.

Guides to scientific and technical information in national archival repositories

The preparation of two such model guides was begun in 1981, one by the National Archives of Sweden, as representative of developed countries, and one by the National Archives of India, as representative of developing countries.

The role of archives and records management in national information systems

This study, which is important in the promotion and development of co-ordinated information policies and plans, has been provided for in the current work programme; it will be published in English, French and Spanish.

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The status of archivists in the public service in Africa in relation to other information professionals

Initiated in 1982, this study, which also will be published in English, French and Spanish, will not only be valuable in its own right but is intended to serve as a model for similar studies in other regions.

THEME 1/02. PROMOTION OF METHODS, NORMS AND STANDARDS

Expert consultation on RAMP guidelines, norms and standards

Because of the critical importance of developing guidelines, methods, norms and standards for the establishment and improvement of all archival and records management systems and services, an expert consultation was held on this topic in Bari, Italy, from 3 to 5 September 1979. The recommendations of that consultation were not only of assistance in planning the 1980-82 work programmes, but for all future planning regarding RAMP.

Access to archival and records management literature

A study on one important aspect of this problem—the availability of abstracts—was made under contract in 1979 and has been published as *Archival journals: a study of their coverage by primary and secondary sources (RAMP studies and guidelines)*.²⁷ The results of this study have already been used to assist in making arrangements with *Library and information science abstracts* for the abstracting of archival journals.

Legal validity of microforms

A 1979 contract for this study resulted in publication of the *Admissibility of microforms as evidence: a RAMP study*.²⁸ This study, which is also available in French and Spanish, is another that was planned in part to serve as a working document for a proposed future expert consultation on this problem.

Applicability of existing guidelines and standards to archives and records management

Intended to supplement the recommendations of the Bari consultation, this study was provided for by a 1980 contract and has been published as *The Applicability of UNISIST guidelines and ISO international standards to archives administration and records management: a RAMP study*.²⁹ Available also in French and Spanish, it is now being used in planning further development of the guidelines component of RAMP.

Use of sampling in archival retention

A contract completed in 1980 resulted in publication of *The Use of sampling techniques in the retention of records: a RAMP study with guidelines*.³⁰ The study is also available in French and Spanish, which is the general policy proposed for all future RAMP studies and guidelines.

Records surveys and schedules

A study with guidelines in this important area is currently being completed under a 1981 contract.

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Model for general guides to national archival repositories

A comparative study with guidelines, this work is in progress, also under a 1981 contract.

Guidelines for the archival appraisal of motion pictures and related records

A co-operative effort by the ICA and the International Federation of Film Archives under a 1981 contract, this study is scheduled for completion in 1982.

Guidelines for the archival appraisal of machine-readable records

Another 1981 contract provides for submission of a manuscript on this topic by the ICA Committee on Automation.

Study with guidelines on archival and records management legislation and regulations

The manuscript on this important topic is being prepared under a 1981 contract and is scheduled for publication later this year.

Study with guidelines on the preservation and restoration of paper records and publications

This and the two studies that follow reflect an increased emphasis upon problems of preservation and on audio-visual records and archives as the result of views expressed at recent meetings of the PGI Intergovernmental Council. The three studies are included in the 1982 work programme.

Study with guidelines on the preservation and restoration of photographic materials

Study with guidelines on the archival appraisal of still pictures and other graphic and related records

THEME 1/03. DEVELOPMENT OF INFORMATION INFRASTRUCTURES

Pilot project for a regional (provincial and local) archival network: Indonesia

In 1980 an agreement was signed with the Government of Indonesia for a four-year project for which Unesco would provide consultant services and limited financial assistance for specialized equipment and supplies. A combined regional archives branch and records centre is now operational in Semarang, the capital of Central Java, and both archives and agency personnel are being trained in surveying, scheduling and transferring records. The project will terminate in 1983 with a seminar to evaluate and share this experience with other countries in the region.

Pilot project for a regional (provincial and local) archival network: Philippines

Also initiated in 1980 with a similar four-year agreement at the request of the government of the Philippines, this project has resulted in the creation of a combined model archives branch and records centre in a suburb of Cebu City. The report of the consultant to the government, who assisted in developing the project, has been published as *Republic of the Philippines: RAMP pilot project for the establishment of a regional archives and records centre*.²¹

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Pilot project in modern records management: Peru

This pilot project was also initiated in 1980 under a four-year agreement with the government. Efforts are continuing to obtain a structure in Lima suitable for serving as a national records centre; training has been given in records surveying and scheduling, and assistance with filing systems and files maintenance is being provided to central government agencies. The report to the government of the consultant who assisted in development of the project has been published as *Perú: Sistema nacional de archivos y gestión de documentos: RAMP proyecto piloto.*³³ This project is also scheduled to terminate with a regional seminar in 1983 for evaluation purposes.

Regional Training Centre in Document Restoration and Reprography, School for Archivists, University of Córdoba, Córdoba, Argentina

Under a 1980 agreement with the Government of Argentina, Unesco is providing to the School for Archivists limited financial assistance for the purchase of specialized equipment and supplies, consultant services and a study grant for advanced training of the designated director of the centre. Unesco will also provide several fellowships for training when this centre for Latin America becomes operational; classes are now expected to begin in the second half of 1982. The centre is intended to train technicians for libraries and documentation centres, as well as for archival repositories. The report to the government of the consultant who advised on the establishment of the centre has been published as *Republic of Argentina: Development of a Regional Demonstration and Training Centre at the School for Archivists, University of Córdoba.*³³

Regional Training Centre in Document Restoration and Reprography, Central Records Office, Khartoum, Sudan

This is a parallel project to the previous one for the Arab region and East Africa, and was established under a 1980 agreement with the Government of the Sudan. Training courses are also expected to be offered by this centre later this year. The report to the government of the consultant used has been published as *Democratic Republic of the Sudan: establishment of a technical training centre in archival restoration and reprography.*³⁴

Study of user needs and archival resources and services

This study, and the four that follow immediately in this listing, are included in the 1982 work programme and are being prepared under contracts with ICA.

Study to develop methodology for identifying and appraising scientific and technical information in transactional (project) files

This study of government records will continue preliminary work completed in previous years.

Study of the status and needs of archival and records management systems and services in African Member States

To be based upon a detailed questionnaire developed by PGI and sent to African Member States, this study is in direct response to a resolution adopted by the twenty-first session of the General Conference of Unesco.

Study of the preservation and administration of private archives

A co-operative effort of ICA and IFLA, this study is planned in part for use as a working document for a proposed future expert consultation.

Preparation of an international bibliography of directories and guides to archival repositories

Since most archival directories and guides are published by archival agencies rather than by commercial publishers, they are not widely reviewed or widely known. This project is intended to assist in overcoming this obstacle to the wider understanding and use of archives.

THEME 1/04. DEVELOPMENT OF SPECIALIZED INFORMATION SYSTEMS

Organization and development of archival and records management systems and services in United Nations Agencies

The plan for this study with guidelines was developed at an expert consultation held in New York City from 17 to 19 October 1979. The contract was awarded in 1981, and the manuscript is scheduled to be completed later this year. The work is being guided and assisted by the ICA Section of Archivists of International Organizations.

Archival appraisal of project files of international organizations

This study, with guidelines, is included in the 1982 work programme and addresses one of the most difficult areas of archival appraisal. It is also being guided and assisted by the ICA Section of Archivists of International Organizations.

THEME 1/05. TRAINING AND EDUCATION OF INFORMATION SPECIALISTS AND USERS

Expert Consultation on the Harmonization of Archival Training Programmes

The consultation, held in Paris from 26 to 30 November 1979, produced two basic studies and a final report that will also be used in preparations for a major international symposium in 1983 on the harmonization of training programmes in information science, librarianship and archival studies. The three documents are: (a) *The Education and training of archivists—status report of archival training programmes and assessment of manpower needs*;²⁶ (b) *The Training of archivists—analysis of the study programmes of different countries and thoughts on the possibilities of harmonization*;²⁷ (c) *Meeting of Experts on the Harmonization of Archival Training Programmes, Paris, 26 to 30 November 1979, Final report*.²⁷

Regional seminar to assess training needs

A Seminar on Archival Training Needs in South and West Asia was held in Colombo, Sri Lanka, from 22 to 28 January 1979, and its recommendations are being used to assist in the development of an Indian School of Archival Studies.

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Provision of lecturers in specialized subjects and fellowships to the Regional Training Centres for Archivists in Accra, Ghana, and Dakar, Senegal

At the request of these centres, specialists have been made available under contract to conduct or develop courses in restoration, reprography and automation, and a limited number of student fellowships have been awarded since 1979.

Regional training courses for microfilm technicians: South-East Asia

In 1979 and 1980 consultant services and financial assistance were provided for courses organized in Indonesia, Malaysia, the Philippines, Singapore and Thailand.

Short-term consultancies to advise on educational curricula and training programmes for archivists

In 1979 a consultant was sent to Indonesia at the request of the government to advise the National Archives on the development of a training programme. His report was published as *Republic of Indonesia: archival training*.³⁸

In 1980 a consultant was sent to the Caribbean region to assess professional training needs for archivists and to investigate methods for meeting these needs. His report was published as *Caribbean region: professional training needs for archivists in the Caribbean region*.³⁹ Consultant services will be provided in 1982 to assist in developing the training programme expected to be located at the University of the West Indies.

International Seminar on Management of Archives

In 1980 financial assistance was provided through ICA to pay travel and tuition costs of participants from developing countries in a seminar organized by the British Council, ICA and PGI, and held at Bracknell, United Kingdom, from 21 September to 3 October 1980, following the ICA Congress in London.

Development of a Regional Training Centre: South-West Asia

As follow-up to a staff mission and study in 1980, financial assistance has been given in 1981/82 to the National Archives of India for a faculty study grant and for instructional materials and equipment necessary to help transform its well-established training programme into an academically accredited school of archival studies.

Regional Training Course in Restoration and Reprography: Caribbean

A consultant was provided in 1981 to assist the Caribbean Regional Branch of ICA (CARBICA) in organizing and conducting a training course in establishing and operating restoration and reprography services in the Caribbean area, and funding was provided to support travel and per diem costs of participants. The course was held in Willemstad, Curaçao, from 16 to 26 February 1981.

Regional Training Course in Archives Administration: Pacific

An introductory course was organized under contract and in co-operation with ICA to provide basic training for persons assigned archival responsibilities in the Pacific region. The course was held in Suva, Fiji, from 13 to 19 October 1981, and funds were provided to defray travel and living costs of some of the participants.

Guidelines for curriculum development in archives administration and records management

The study prepared under this 1981 contract is now being revised following review by a small group of specialists, and will be published in English, French and Spanish later this year.

Plan for a basic reader in archives administration and records management

The detailed plan for this basic instructional tool is being developed under a 1981 contract and implementation of the approved plan is scheduled as part of the 1982 work programme.

Directory of audio-visual materials for use in archives administration and records management training

The manuscript for the directory, prepared under a 1981 contract, has been submitted for publication.

Workshop on Archival Problems

Financial assistance will be made available to provide instructors for this workshop, which is scheduled for 13 to 14 September 1982 in Harare (formerly Salisbury), Zimbabwe, in conjunction with the seventh Biennial Conference of ECARICA, the East and Central Africa Regional Branch of ICA.

Seminar on Archival Legislation

Financial assistance will be provided to cover travel costs of participants and of two teachers for a subregional seminar scheduled for 20 to 24 September 1982 in Bangui, Central African Republic.

Pilot project on co-ordinated development of national information systems in the Caribbean

In 1981 and 1982 financial assistance was made available for archivists to participate in short regional training courses as part of this pilot project.

This, to date, is a review of what has been initiated and accomplished under the RAMP programme. A second expert consultation (RAMP II) has been organized in co-operation with ICA, the National Commission for Unesco and the Ministry of Foreign Affairs of the Federal Republic of Germany. Scheduled for 9 to 15 June 1982 in West Berlin, this consultation is intended to assist Unesco in assessing progress and results of their projects, studies and other activities, and, in the light of the findings, of rapidly changing technologies, and of the varying needs and interests of Member States, to advise Unesco on the future direction and content of the RAMP programme.

Conclusion

The programme of PGI for archival development, particularly RAMP, is a direct response to needs expressed by Member States. In retrospect, and as expressed in the Working Document for the original expert consultation, 'in

terms of the ever-growing volume of uncontrolled records and inadequately preserved and underutilized archives, of the relative neglect of problems relating to records and archives, and of the important contribution that well-managed records and organized archives can make to national development... a programme of this type and scope is fully justified'.⁴⁰

The projects and activities under way and planned to assist in archival development are strengthened by, and in turn help to strengthen, the overall PGI programme, which is aimed at promoting the application of information to the problems of national development. Archival systems and services, no less than those of other information institutions and information systems, must be expanded and further developed if they are to prove relevant to the information needs of the 1980s and to support national development.⁴¹

Notes

1. On the origins of ICA see particularly Robert-Henri Bautier, 'Twenty years of international co-operation in archives work', *Unesco bulletin for libraries*, Vol. XIX, 1965, pp. 317-18, and Eckhart G. Franz, 'The ICA, its achievements and its future', a paper presented at the Ninth International Congress on Archives of the ICA, September 1980, in London, which will be published in a future issue of *Archivum*. For further writings on Unesco, ICA and the development of archives, see Frank B. Evans (comp.), *The History of archives administration: a select bibliography*, pp. 196-203, Paris, Unesco, 1979. (*Documentation, libraries and archives: bibliographies and reference works*, 6.)
2. Robert-Henri Bautier (comp.), 'Bibliographie sélective des guides d'archives: supplément au Guide international des archives, t. I, Europe (1934)', *Journal of documentation*, Vol. 9, 1953, pp. 1-45.
3. Latin American and Caribbean countries participating in the project were, successively, Paraguay, Panama, El Salvador, Honduras, Dominican Republic, Barbados, Peru and Chile. The Arab states were Morocco, Libya, the United Arab Republic and Syria. In Asia filming took place in Cambodia, Singapore, India, Malaysia and Ceylon. For further details of this project, see J. Sevillano Colom, 'The Unesco Microfilm Unit in Latin America', *Unesco bulletin for libraries*, Vol. XVI, 1962, pp. 182-6, and 'Unesco and archives', *Unesco chronicle*, Vol. 14, 1968, pp. 1-2.
4. The most complete listing of these series is provided in International Council on Archives, *Directory 1982*, pp. 65-9, Brussels, International Council on Archives, 1982.
5. See, for example, Robert Marquant, 'Archives and economic and social development', *Unesco bulletin for libraries*, Vol. XVI, 1962, pp. 234-8; and Guy Duboscq, 'The importance of modern archives for the developing countries', *Unesco bulletin for libraries*, Vol. XVII, 1963, pp. 259-63.
6. Yves Pérotin (comp.), *A Manual of tropical archiving*, Paris/The Hague, Mouton, 1966; *Manuel d'archivistique tropicale*, Paris/The Hague, Mouton, 1966; Michel Duchéin, *Les Bâtiments et équipements d'archives*, Paris, Conseil International des Archives, 1966.
7. See table in Unesco, *The Participation Programme of the United Nations Educational, Scientific and Cultural Organization; why what how*, Paris, Unesco, 1978, p. 9. Between 1967 and 1977, funds available under the Participation Programme increased from \$1.9 million to \$5.2 million.
8. Collective Consultation to Define Guidelines for Unesco's Policy on Archives Development, Unesco Headquarters, 12-15 May 1970, *Final report*, p. 1, Paris, Unesco, 1970. (COM/WS/148.)
9. On the Ivory Coast pilot project and the regional training centres, see 'Archive policy for French-speaking African countries. Regional Seminar on Archives, Dakar, Senegal, 15 March to 9 April 1971', *Unesco bulletin for libraries*, Vol. XXVI, 1972, pp. 84-7, 96; Bruno Delmas, 'Archives and development', *Unesco chronicle*, Vol. 20, 1974, pp. 1-3; Jacques d'Orléans, 'The Pilot project for archives in French-speaking Africa, Abidjan, Ivory Coast', *Unesco bulletin for libraries*, Vol. XXVIII, 1974, pp. 209-16, 232.
10. The full titles of these studies are: Salvatore Carbone and Raoul Guezé, *Draft model law on archives: description and text*, Paris, Unesco, 1972 (1). Yash Pal Kathpalia, *Conservation and restoration of archive material*, Paris, Unesco, 1973 (3). A. W. Mabbs, with the collaboration of Guy Duboscq, *The Organization of intermediate records storage*, Paris, Unesco, 1974 (5). A parallel volume, Guy Duboscq, in collaboration with A. W. Mabbs, *Organisation du pré-archivage*, Paris, Unesco, 1974 (5), treats the same subject but from the point of view of countries which apply French methods rather than those of English-speaking countries. L. Bell and B. Faye, *La Conception des bâtiments d'archives en pays tropical*, Paris, Unesco, 1979 (9). Although published later, this work was contracted for by DRA. It has since also been published in Spanish.
11. The documents and publications referred to are: Jean-Jacques Valette, *Le Rôle des archives dans l'administration et dans la politique de planification dans les pays en voie de développement*, Paris, Unesco, 1972. (COM/WS/281); F. R. J. Verhoeven, with an introduction by Morris Rieger, *The Role of archives in the public administration and national planning policy of developing countries, with particular reference to South-East Asia*, Paris, Unesco,

- 1972; C. Kecskeméti, *La Formation professionnelle des archivistes. Liste des écoles et des cours de formation professionnelle d'archivistes*, Brussels, International Council on Archives, 1966; J. Davics, *A Study on the basic standards and methods in preservation and restoration workshops applicable to developing countries*, Brussels, International Council on Archives, 1973; A. H. Leisinger Jr, *A Study of the basic standards for equipping, maintaining and operating a reprographic laboratory in archives of developing countries*, Brussels, International Council on Archives, 1973; R. Manning et al., *Preparation of a guide to the archives of international organizations in the United Nations system and other international organizations*, Paris, Unesco, 1976 (preliminary study) (COM. 73/WS/28); J. Basco et al., *Legal questions of the application of microfilms*, Paris, Unesco, 1973 (COM. 75/WS/30); C. Kecskeméti, *Archival claims: preliminary study on the principles and criteria to be applied in negotiations*, Paris, Unesco, 1977 (PGI-77/WS/1); Y. P. Kathpalia, *Conservation and restoration of archives: a survey of facilities*, Paris, Unesco, 1978. (PGI-78/WS/14.)
12. See particularly Carlos V. Penna, 'Inter-American Seminar on Integrated Information Services of Libraries, Archives and Documentation Centres in Latin America and the Caribbean', *Unesco bulletin for libraries*, Vol. XXVII, 1973, pp. 132-4; Unesco, Consultation on the Planning of National Archives Services, Unesco Headquarters, 4-6 December 1972, *Working paper* (DBA/2838) and *Report* (COM/WS/317), Paris, Unesco, 1972; Unesco, Consultation on National Planning Policy and Methodology for Documentation, Libraries and Archives, Paris, 26-29 November 1973, *Report*, Paris, Unesco, 1973 (COM/WS/358); 'Intergovernmental Conference on the Planning of National Documentation, Library and Archives Infrastructures, Paris, 23-27 September 1974', *Unesco bulletin for libraries*, Vol. XXIX, 1975, pp. 2-15; Carlos V. Penna, 'Thirty years of action by Unesco for the development of documentation, library and archives services in its Member States', *Unesco bulletin for libraries*, Vol. XXX, 1976, pp. 311-25.
13. The published studies are J. H. d'Olier and B. Delmas, *Planning national infrastructures for documentation, libraries and archives: outline of a general policy*, Paris, Unesco, 1975 (4), and Eric de Grolier, *The Organization of information systems for government and public administration*, Paris, Unesco, 1979 (8). The two documents are P. Havard-Williams and E. G. Franz, *NATIS: Planning information manpower*, Paris, Unesco, 1976 (COM-74/NATIS/REF. 5), and *National information systems: establishing a legislative framework for the implementation of NATIS*, Paris, Unesco, 1977 (CC-76/NATIS/8). For bibliographic data and summaries of other DBA publications and studies that had appeared by the beginning of 1975, and an overview of all DBA activities, including assistance to Member States under the Participation Programme, see *Development of national and regional information systems and services: summary of the activities of the Department of Documentation, Libraries and Archives, 1967-1974*, Paris, Unesco, 1975. (COM-75/WS/11.)
14. See Unesco, General Conference, Nineteenth Session, Nairobi, 1976, *Report of the Director-General on the overall information programme*, Paris, Unesco, 1976. (19 C/42.)
15. Unesco, Intergovernmental Conference on Scientific and Technological Information for Development, UNISIST II, Paris, 28 May to 1 June 1979, *Main working document* (PGI-79/CONF. 201/COL. 5) and *Final report* (PGI/MD/1), Paris, Unesco, 1979. See also Jacques Tocatlán, 'Information for development: the role of Unesco's General Information Programme', *Unesco journal of information sciences, librarianship and archives administration*, Vol. III, No. 3, 1981, pp. 146-58.
16. The Division was placed outside the sectorial structure of Unesco and it reports to the Assistant Director-General for Studies and Programming, who is directly under the Director-General of Unesco. See Tocatlán, *op. cit.*, p. 151.
17. R. Manning et al., *Guide to the archives of international organizations. Part I: The United Nations system, Preliminary version*, Paris, Unesco, 1979. (PGI/79/WS/7.)
18. E. Ketelaar, *International standardization of statistics on archival institutions and records centres, Report*, Paris, Unesco, 1978. (PGI-78/WS/16.) The multilingual glossary is scheduled for publication in 1982.
19. See *Report of the Director-General on the study regarding problems involved in the transfer of documents from archives in the territory of certain countries to the country of their origin*, Paris, Unesco, 1978. (20 C/102.)
20. Details of the projects and activities undertaken since 1977 by PGI under both the Regular Programme and the Participation Programme are given in the successive issues of the *UNISIST newsletter*, Vols. 3-6, 1977-78, then in the *General Information Programme—UNISIST newsletter* which replaced it, beginning with Vol. 7, No. 1, in 1979. Early in 1979 an Operational Section was created to assume responsibility for administering the rapidly expanding Participation Programme of the Division, as well as projects financed from extra-budgetary sources, such as UNDP and Funds-in-Trust projects. Most recently a separate section has been made responsible for programme promotion, evaluation and documentation support.
21. *Expert Consultation on the Development of a Records and Archives Management Programme (RAMP) within the Framework of the General Information Programme, 14-16 May 1979. Final report*, p. 3, Paris, Unesco, 1979. (PGI-79/WS/10.)
22. *Ibid.*, p. 2.
23. *Ibid.*, p. 8. These actions have resulted in preparation and publication of Arabic, English, French, Russian and Spanish editions of two studies: I. Boraa, *Feasibility study on the creation of an internationally financed and managed microfilming assistance fund to facilitate the solution of problems involved in the international transfer of archives and in obtaining access to sources of national history located in foreign archives*, Paris, Unesco, 1981 (PGI/81/WS/7); Charles Kecskeméti and Evert Van Laar, *Accords et conventions: modèles bilatéraux*

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- et multilatéraux relatifs aux transferts d'archives*, Paris, Unesco, 1981 (PGI-81/WS/3); and in English and French of J. Pieyns, *Étude de faisabilité d'une base de données consacrée aux sources d'histoire nationale conservées dans des pays étrangers*, Paris, Unesco, 1981 (PGI-81/WS/24). A study grant was made to the National Archives of Sri Lanka, which has led to the preparation and publication of G. P. S. H. de Silva, *A Survey of archives and manuscripts relating to Sri Lanka and located in major London repositories*, Paris, Unesco, 1981 (PGI-81/WS/4), and financial assistance was provided to Sri Lanka, the Dominican Republic and India to purchase microform copies of records located abroad that relate to their history. A pilot project is also under way that includes the Governments of Belgium, Burundi, the German Democratic Republic and the Holy Sec, and involves records relating to Burundi.
24. General Information Programme, Intergovernmental Council, Second Session, *Final report*, p. 10, Paris, Unesco, 1979. (PGI/79/Conf. 202/Col. 13, Council/II/5.)
 25. Unesco General Information Programme and UNISIST, Intergovernmental Council for the General Information Programme, Third Session, Paris, 26-30 October 1981, *Final report*, p. 8. (PGI-81/Council/III/7.)
 26. See Manning et al., op. cit.
 27. Paris, Unesco, 1981. (PGI/81/WS/10.) Also available in French.
 28. By Georgea Weil, Paris, Unesco, 1981. (PGI-81/WS/25.)
 29. By James B. Rhoads, Paris, Unesco, 1982. (PGI-82/WS/4.) See also James B. Rhoads, 'Standardization for archives', *Unesco journal of information science, librarianship and archives administration*, Vol. III, No. 3, 1981, pp. 165-9.
 30. By Felix Hull, Paris, Unesco, 1981. (PGI/81/WS/26.)
 31. By Artel Ricks, Paris, Unesco, 1981. (FMR/PGI/81/158.)
 32. By Vicenta Cortés Alonso, Paris, Unesco, 1981. (FMR/PGI/81/110.)
 33. By Carmen Crespo, Paris, Unesco, 1981. (FMR/PGI/81/116 E.) Also available in Spanish as *República Argentina: Establecimiento de un centro de formación en técnicas de restauración y reprografía en la Escuela de Archiveros, Universidad de Córdoba*.
 34. By Michael Roper, Paris, Unesco, 1980. (FMR/PGI/80/160.)
 35. By Michael Cook, Paris, Unesco, 1979. (PGI-79/CONF. 604/COL. 2.) Also available in French.
 36. By B. Delmas, Paris, Unesco, 1979. (PGI-79/CONF. 604/COL. 1.) English translation of the French original.
 37. Paris, Unesco, 1980. (PGI-79/CONF. 604/COL. 7.) Available also in French.
 38. By Eric Ketelaar, Paris, Unesco, 1980. (FMR/PGI/80/154.)
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THE ICA, ITS ACHIEVEMENTS AND ITS FUTURE

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1. Introduction: Establishment and history of ICA

The beginnings of international collaboration in the field of archives go back to before the First World War. The first "International Congress of Archivists and Librarians" was held on the occasion of the world exhibition of 1910 in Brussels. The subjects discussed, the official transfer of records, the principle of provenance, the publication of archival finding aids, archives management and the training of archivists, problems of non-governmental archives, right through to business archives, problems of conservation and restoration have a thoroughly contemporary sound. The outbreak of war interrupted the work of the "Permanent Commission" which had been established and which was to have organised further congresses at 5-yearly intervals. It was more than a decade after the end of the war before new initiatives were undertaken. An 'Archives Commission', consisting of archivists and historians which was set up in 1929 by the 'International Commission for Historical Science' was principally concerned with problems of facilitating the use of archives. The "Committee for Intellectual Cooperation" (CICI), founded in Paris in 1922 as the direct forerunner of the later Unesco organisation, set up a "Technical Committee of Archivists" in 1931 as a result of a memorandum from the German delegation. The most important items in its programme were an international archives vocabulary, which never got beyond the draft stage, and an international archives guide, the first volume of which appeared in 1934. This embryonic international archives organisation, with an International Congress on Archives planned for 1934-35 in Rome, was wrecked by the new heightening of political tensions which led to the Second World War.

The experiences of the war itself and the manifold irreplaceable losses in our archival heritage formed the starting point for a new effort, undertaken immediately after the end of the war by the National Archives of the United States, which had been in existence for scarcely 10 years. It was this

initiative which finally led to the establishment of the International Council on Archives. The 'Proposed Archives Program for the UN Educational Scientific and Cultural Organization', which the United States Commission for Unesco adopted in September 1946, listed as the predominant aims of a new international professional organisation to be established in the archives field, the "rehabilitation of war-damaged archives", and the protection of archives against war-damage in future, the rôle of archives in international peace-settlements and the "preservation of archives of international government", but also technical questions such as the handling of modern mass data and new types of documentation, archival photography and the "international exchange of photographic facsimiles", a "uniform archival terminology", cooperation in the training of archivists", improved archival finding aids, and the preparation of a new international archives guide.

In response to the American proposals, the report adopted by the first General Conference of Unesco in Paris at the end of 1946 provided for the creation of an 'international organization of professional archivists'. The next step, also originating in America, was the international distribution, in the summer of 1947, of a circular containing suggestions on the organisation and its programme, which was signed by the then Archivist of the United States, Solon J Buck. On the 9th of June 1948, he was elected to be one of the Vice-Presidents of the newly-founded International Council on Archives by a meeting of experts from 8 countries assembled at the then Unesco headquarters in Paris, together with the Deputy Keeper of Public Records, Hilary Jenkinson, who had been a member of the "Technical Committee" set up in 1931. The founding President was Director General Charles Samaran, who, with the French archives administration took charge of the preparation of the 1st International Congress on Archives. It was to take place in Paris in August 1950. Under Samaran's chairmanship, in the Constituent Assembly of 21st/22nd August 1950, delegates

from 33 countries adopted the final draft of the Constitution of International Council on Archives, and thus concluded the formal founding process.

In retrospect, the further development of the newly-founded ICA may be divided into three stages, each lasting about a decade. The early years were taken up in laying down a solid foundation and in preparing the way for a genuine exchange of experience and opinions within the framework of the International Archives Congresses. The organisation's yearbook 'Archivum' appeared from 1951 onwards, and the discussion group of the "International Round Table on Archives" was convened for the first time in 1954, the credit for its foundation going to the French archives administration under Charles Braibant, who also created the "Stage technique international des Archives" at the National Archives in Paris which then, as now, could scarcely be praised too highly for its opportunities for personal contact between younger archivists.

A second stage began with the International Council on Archives starting work projects of its own in 1959/60. In cooperation with Unesco the plans for a "Guide to the Sources of the History of Latin America" went into action, and at about the same time ICA launched two technical committees on terminology and sigillography. This second stage saw the establishment of a headquarters secretariat in Paris in 1963, made urgently necessary by the widening of the Council's tasks, and the reform of the organisation's constitution, which set the pace for further development. Both decisions were finalized at the 5th International Congress on Archives in Brussels in 1964. ICA saw itself as a world-wide organisation from the start, but, although there were already archivists from all 6 continents taking part in the 1950 founding Congress in Paris, the Council's operations in the early years were clearly centred on Europe and America. It was only at the Congresses of 1966 and 1968 that the Council became fully aware of the archival problems of the third world and

pledged itself to concerted efforts in archival development which, in closer collaboration with Unesco, was to become the foremost task of the International Council on Archives.

The establishment of the first ICA regional branch SARBICA in 1968, and the decision, in the following year, to set up a special planning committee for archival development, marked the beginning of a third stage. The organisation of a network of regional branches, provided for in the 1964 constitution, and started with the creation of SARBICA has been almost completed in the meantime. In the structural form of the parent body too, the gradual growth of the system of committees and sections seems to have attained a more definite state. The publications programme, which has developed just as strongly, is taking on a new look with the start of another new international professional journal and the projected series of ICA handbooks. Thus, the close of the third decade in the history of the International Council on Archives offers a good opportunity for a look back at what has been achieved so far, an analysis of the present situation, and a survey of future tasks and problems.

The organisation structure

Membership and General Assembly

The members of the committee which established the International Council on Archives in Paris in June 1948, were mainly representatives of national archives or archives authorities. In the amended form adopted by the Constituent Assembly during the 1st International Congress on Archives of 1950, the Constitution provided for three categories of membership: archival professional associations at a national or international regional level, archival institutions of any kind and professional archivists as individual members. The detailed definitions of these categories are of no interest here. The distinction between 'national' and 'non-national' institutions, which had already been introduced into the scale of membership dues at the founding assembly, was not given statutory form until the comprehensive constitutional reform of 1st September, 1964, when a new 'Category A' for central archives directorates or archival institutions with state-wide authority was separated off from the previous 'Category 2' for institutional membership. At the same time, a fifth category for those elected honorary members was set apart from the other individual archivist members. Since that time, then, the categories of membership have been as follows: A. Central archives directorates; B. Archives associations; C. Institutional members; D. Individual members; E. Honorary members.

According to its constitution, the International Council on Archives is an association of both institutions and individuals. However, their rights and duties are covered by very different rules. Only the national members in categories A and B have the right to vote in the General Assembly, with each member country normally carrying two votes, which if necessary can both be exercised by one A or B member alone; when there are several members from one country, they must decide amongst themselves how their votes are to be exercised; the amendment to the constitution adopted in Moscow on 25 August 1972

allots a third vote to countries with a federal structure, provided that at least one central archives of a constituent part of the federation has category A membership.

The dues scales correspond to the distinction in voting rights. While members in categories B-D pay fixed uniform rates for each group, which are merely adjusted from time to time to allow for changes in overall costs, the membership dues for 'A' members, after a first massive increase in 1968, have been calculated according to a system based on the gross national product (GNP) and the per capita income (GNP-PC) of each country since the Moscow General Assembly of 1972. The membership dues subsequently fixed by the rate structure which came into force on the 1st of January 1979, vary from the minimum \$ US 150 fee which applies to the majority of the third world members to 7,000 and 10,000 dollars (for the USSR and the USA). Including the voluntary contributions, which have been granted for a number of years, the total income from membership dues for 1979 will amount to about 108,000 dollars, more than 70% of which will come from the 21 industrial countries in category A rated at 1,000 dollars and above.

The main feature of the development of ICA membership has been the steady rise in the number of countries represented, from 17 in the year of the Council's definitive establishment, 1950, to 33 in 1953, 55 in 1960, 74 in 1968, 84 in 1972, and 113 in autumn 1979. This is undoubtedly an impressive testimony to the archival development achieved, to which the International Council on Archives has devoted a considerable part of its efforts. The Washington congress of 1976 coined the slogan of 'the geo-archival revolution'. The fact that during this development the proportion of third world countries having category A membership has been steadily growing scarcely needs emphasising. Already among the founding members, approved by the first Executive Committee of 1950, 6 represented countries in Latin America, Africa and Asia. Of the 68 member states in the year 1964 about half belonged to the Third World. The figure today is almost 75%.

The total membership of the organisation rose from 192 in 1952 to 230 in 1964, then jumped to 466 by the 1968 congress and today stands at 751. If we break down the membership into categories, in 1953 there were 29 members in category A, 11 in category B, 44 in category C and 104 in category D. The corresponding figures as of 1 October 1979 read as follows: category A 141, category B 25, category C 405 and category D 163. Of the actual category C members 298, i.e. almost three-quarters, are from France, Italy and the USA, and the 85 members from the USA and Canada provide more than half the individual members in category D. The International Council on Archives thus includes almost all existing national archives authorities and associations of archivists, yet, outside the countries mentioned above, a large number of archival agencies and the great mass of individual archivists do not make use of the opportunity of becoming members and receiving ICA's periodical publications.

On the whole, over half the member countries with voting rights have attended the General Assemblies (so-called since 1960), which were held in conjunction with the International Congresses on Archives, initially every three years, and from 1956 every four years. In 1953, 20 national delegations took part, in 1960 27, in 1966 38, and in 1976 as many as 70. The tasks of the General Assembly, the central controlling and supervisory body of the association, include receiving and examining reports from the secretariat and from all the organs of the International Council on Archives, amending regulations and making organisational changes, electing the executive and establishing the membership dues. Assembly resolutions are generally carried unanimously.

b. Executive Committee, Bureau and Secretariat

The permanent steering organ of the International Council on Archives is the Executive Committee, which is elected by the General Assembly. As a rule it holds its meetings once a year, usually for several days, to discuss

and vote on matters of financial and operational planning and other basic matters affecting the organisation, on the basis of the relevant reports submitted. In the 1950 constitution, the Executive Board, as it was then called, comprised the President, 2 Vice-Presidents (one from the eastern hemisphere and one from the western), the Secretary General, the Treasurer and 6 other members elected for the periods governed by two Assemblies, with half of the elected members resigning at each Assembly. The number of elected members has been augmented as the organisation has expanded - 8 in 1966, 10 in 1968, 12 in 1972 and finally 14 in 1976. The President and the elected members are now both limited to four years in office, so that half the elected members must resign every two years. When, in the committee elections for 1953, three retiring members were replaced by representatives from the same countries, the Executive Committee voted "that this coincidence should not become the basis for precedent", a decision which has not prevented a tradition of Executive Committee seats being largely reserved for particular countries or groups of countries. The 17 members (including the President) must, however, all be drawn from different countries. A 1976 amendment to the constitution lays down that in future at least one of the elected Vice-Presidents (who must still be from different continents) must come from a developing nation. An appropriate representation of the third world is furthermore cared for by a constitutional amendment, approved as far back as 1964, which provided for the Presidents of the ICA Regional Branches being planned at that time to be ex officio members of the Executive Committee, a decision which was first put into effect in 1968, with the founding of SARBICA.

While the President and the Vice-Presidents, like all other Committee members, are elected by the General Assembly, the remaining members of the Bureau, the Secretary General, the Deputy Secretary General, attached to him in 1956, who, following a 1964 amendment to the constitution, must reside in a country of the western hemisphere, the Treasurer, and the Secretary or

Executive Secretary, who was made an ex officio member of the Executive Committee in 1968, are appointed by the Committee. The importance of the Bureau, which was given its present form by an amendment to the constitution in 1964, has increased as the number of members of the Executive Committee has grown. The Bureau, which meets once or twice a year, in between the full meetings of the Executive Committee, has become an organ for closer control of the management of affairs, controlling and co-ordinating the organisation's day-to-day affairs.

The current administration of the International Council on Archives, which initially was dealt with by the Secretary General and his deputy, has been increasingly transferred to the Secretariat at the Paris seat of Unesco headquarters, which was organised with the employment of a full-time Secretary in the early sixties. Originally conceived as the Secretary General's assistant by section 27 of the 1964 constitution, the Secretary, later Executive Secretary with the amendment of the Constitution in 1976 was also formally charged with the larger part of the tasks, which were formerly attributed to the Secretary General. As laid down in the constitution, the secretariat, which was strengthened by the 1972 appointment of 2 (later 3) assistants, operates at the same time as both a liaison and co-ordinating point for the various organs of the Council on Archives. To fulfil the tasks laid down for the secretariat properly, the Secretary needs the support of a professional assistant. Since it has not proved possible to turn the temporary seconding of qualified archivists to the Paris secretariat for limited periods into a permanent solution, the Executive Committee has decided (in 1978) to set up a permanent assistant's post, the filling of which should complete the final build-up of the secretariat.

c. Committees and working parties

In the early years, International Council on Archives committees were predominantly set up for the preparation of General Assemblies and congresses; there were committees for amending the constitution, for admissions and nominations; and programme and organising committees for each International Congress. The first ad hoc committees on specific questions or projects were appointed in 1953: a commission, which met only at the Congress on Archives in the Hague, to examine the problems of large-scale microfilming operations, and the terminology committee, which met for the first time in 1956, and was able to report the completion of its allotted task in 1964, with the appearance of Elsevier's 'Lexicon of Archives Terminology'. Project-oriented committees, which were intended for long-term operation, were the editorial committee for the journal 'Archivum', which, since 1960, has held periodic joint sessions with the editors of other archival journals, and the various committees or commissions which, since 1959, have been responsible for producing the different series of the 'Guide to the Sources of the History of Nations'. In 1975 they were combined into the so-called 'co-ordinating committee', which completed its work with a final meeting at Kuala Lumpur in July 1979.

The setting-up of standing technical committees to cover special subject areas in the archival field began with the appointment of a Committee on sigillography at the time of the 1960 Stockholm Congress. Based on the reports of the working parties set up, in accordance with the recommendations of the Extraordinary Congress on Archives of 1966, to consider the facilitating of access and publication, especially microfilm publication, of archival material, a permanent Microfilm Committee was formed in 1969. The working party on the application of computer technology in the archival field set up in 1972 at the suggestion of the Round Table, became the Committee on Automation/ADP, which was definitely established by the Executive Committee in 1974. The

creation of a Conservation and Restoration Committee, which had been discussed since as far back as 1965, was approved in 1975. Considerations partly motivated by a desire for economy, of forming a joint committee for all areas of archival technology remained without consequence as did the repeated warnings to make more use of temporary ad hoc working parties instead of augmenting the rather costly standing committees. Further committees on specific problems set up in 1977 were a Committee on Professional Training and Education and a Joint Committee on records management problems, established in cooperation with the International Records Management Foundation. The question of an additional committee for audio-visual archives is under consideration. The Committee on Business Archives, set up in 1974/75, and the Committee on Literature and Art Archives, which, dating back to a 1975 proposal from the Round Table, was formally established in the spring of 1979, take an intermediate position between the other technical committees and the sections formed for special types of archives.

The standing technical committees, nowadays described simply as 'committees', although the constitution still refers indiscriminately to 'standing committees, commissions and working parties', are appointed by the President of the International Council on Archives in agreement with the Executive Committee and the respective committee chairmen, who are appointed for 4 years at a time. The earlier limitation of the number of committee members to nine was lifted when the constitution was last amended, but all the committees in existence at present actually comprise between 8 and 10 members. The limitation of the committees to relatively small groups of experts, selected primarily for their professional competence and only subordinately on a basis of regional representation, has proved itself in practice. However, following the precedent of the Microfilm Committee, both the Automation Committee and the Restoration Committee have built up their own networks of correspondents or corresponding members;

the correspondence circle of the Microfilm Committee extends over about 60 countries and a number of international organisations. Technical seminars which are occasionally organised in conjunction with committee meetings, aim at a broader dissemination of the committees' working results as do the bulletins or newsletters (sometimes almost as bulky as journals) which have been appearing since 1972 for microfilm and automation, and since 1978 for restoration and business archives. As regards the international exchange of opinions, the task of all technical committees is to work out operating standards and guidelines for any particular area of technology, even to the extent of producing handbooks for the profession.

A position, different from the technical committees with their more or less clearly defined responsibility for specialised areas and problems, is taken by the ICA Committees for Archival Development and for Publications, which should be considered as policy committees, immediately connected with the work of the Executive Committee. The two sub-commissions nominated in 1975 to study the publications policy and programme of ICA were converted into a permanent Publications Committee in 1974/75. Ex officio members are the Secretary General, the Treasurer and the editors of ICA's most important publications or series of publications. The idea of a body in charge of co-ordinating activities in the field of archival development aid goes back to the Extraordinary Congress on Archives in Washington, which first gave the highest priority in the work of the International Council on Archives to the development programme for the third world. Instead of the joint Unesco/ICA working party envisaged at that time, it was decided in 1969 to set up a standing working party of the Council on Archives to plan, evaluate and co-ordinate efforts in the area of archival development. At its 1971 2nd sitting, the working party was transformed into the Committee for Archival Development (CAD). Apart from the members appointed by the President, on the basis of their

specific qualification, slightly more numerous in number than with the other committees, regular members are the Secretary General, the Treasurer and the so-called "rapporteurs" for the various developing regions, who are being appointed by the bureaux of the various regional branches, since these were set up. The tasks of CAD, which arranges its meetings to fit in, in time and place, with Congresses, Round Table conferences and the annual sessions of the Executive Committee, include the periodic assessment of development needs and priorities, the nomination of experts for development missions in the form of a roster of experts, which is kept up to date, the examination of requests for assistance and the co-ordinating support for concrete projects by passing them along to Unesco or other governmental and non-governmental sponsors. For limited projects CAD can draw on the resources of the International Archival Development Fund, which on CAD's initiative was inaugurated at the General Conference on the Planning of Archival Development in the Third World at Dakar 1975.

The chairmen of the Publications and Development Committees are invited to attend the meetings of the Executive Committee in the role of observers, while the participation of all the committee chairmen, as proposed in 1972, has proved impracticable. The suggestion, made in 1973, to assign a member of the Executive Committee to each technical committee as a specialist adviser, was not pursued either. There seems to be an urgent need to strengthen co-ordination and collaboration between the committees and the other ICA bodies, however. The recommendations of an ad hoc committee appointed to work out suitable suggestions on the basis of a thorough analysis of ICA's committee structure, are submitted to the 1979 session of the Executive Committee. In addition to the regular contacts of all committees with the secretariat a regular consultation meeting of committee chairmen and secretaries is provided for in the framework of the International Congresses, as has already taken place

d. Regional branches and sections

The expansion of the International Council on Archives and the development of archival infrastructures in the countries of the third world which has been promoted by the work of the International Council on Archives and vary from region to region, led to the idea of regional branches to account for the specific problems of the various parts of the developing world. In strengthening the work related to the individual regions, they are also aimed at an intensified participation of individual archives and their staff in the international exchange of experience. The forerunners were regional gatherings like the 1st Latin American Congress on Archives, Libraries and Intellectual Property in 1952, or the 1st Congress for Archivists and Historians of Countries in the Indian Ocean Area, held in Madagascar in 1960.

The statutory provisions for the establishment of regional branches were laid down as far back as the constitutional amendments of 1964. A resolution of the extraordinary congress of 1964 proclaimed itself emphatically in favour of the realisation of this concept. After several years' preparation, it was possible to constitute SARBICA, the ICA regional branch for South-East Asia, as the first of the regional branches, in the summer of 1968. The founding conference of the East and Central African Regional Branch (ECARBICA) followed in 1969. The Arabian Regional Branch (ARBICA), with a substantially larger number of member countries, was formed in 1972. The Caribbean Archives Association, an offspring of the Caribbean Historical Association, which dates back to 1965, became the ICA regional branch for the Caribbean and West Indian states (CARBICA) in 1975. After the failure of earlier attempts to set up a Latin American regional branch based on existing organisations (the Inter-American Technical Committee on Archives, or the Archives Committee of the Pan-American Institute of Geography and History), the Archives Association of Latin America (ALA), plans for which had already been drawn up three years earlier, was finally incorporated as a future ICA region, on the occasion of a Unesco-sponsored meeting of experts on archives development in Latin America, at the

beginning of 1976. The formation of the South and West Asian Region in New Delhi at the end of 1976 and the bi-lingual SWARBICA for West Africa one year later filled the major gaps that remained. Additional branch projects for Equatorial Africa and Oceania are under consideration.

The regional branches, although bound to the parent organisation, by the decision that all countries belonging to them must be, or must become, category A members of the International Council on Archives, by the fact that their Presidents and rapporteurs are members of the Executive and Development Committees respectively, and by the obligation to present regular reports, nevertheless have a large measure of freedom in organising their work. This is true of the regional conferences held every two or three years on various technical subjects, of the regional technical seminars and symposia, which are partly funded by Unesco as development projects or by the Archives Development Fund, and of the periodic publications from the regions, which are partly conventional journals, partly mimeographed information bulletins.

The idea of special sections for individual areas of professional activity with special problems is more recent than that of regional branches. Steps in this direction was the proposal, put forward in 1971, to incorporate an Association for press, radio and television archivists as an independent ICA section and the 1974 suggestion that there should be separate sectional meetings for military archivists. When the setting-up of sections was accepted in the reformed constitution of 1976, two sections could be founded immediately. The formation of a Section of Archival Associations was in line with a proposal made by the Executive Committee as early as 1974. The simultaneous founding of a Section of Archivists of International Organisations, a problem area which had been one of the objectives when the International Council on Archives was founded in 1947/48, shows even better the particular idea behind the section concept. By taking in all the members of one particular branch of the

profession, it wants to provide a forum for the discussion of specific technical problems which goes beyond the rather narrow limits of a committee, and at the same time an independent body to represent these interests externally. With this in mind, a transformation of the newly-founded Committees on Business Archives and on Literature and Art Archives into sections for these areas might be worth considering.

3. Activities and achievements

a. Exchanging experience and information: Conferences and publications

Foremost among the general objects set out in the ICA constitution are the periodical holding of International Congresses, the fostering of professional contacts between archivists and archives of all countries, and the promotion of exchanges of experience and ideas on professional matters relating to archives. An important means of establishing relationships and contacts and transmitting technical experience and information was and is the professional gatherings organised by the International Council on Archives. Apart from the International Congresses provided for in the founding constitution and which were originally held every three years and later every four, there are the more recent annual conferences of the Round Table regional gatherings and seminars on archival problems, which are partly organised in collaboration with Unesco and other specialist organisation.

The 1st International Congress on Archives, held on 23rd - 26th August 1950, in Paris, following the Constituent Assembly of the new organisation, brought together over 360 archivists from 35 countries. Subsequent congresses were held in the Hague (1953), Florence (1956), Stockholm (1960) and Brussels (1964). In 1966, the International Council on Archives deserted the Western European scene for the first time for the Extraordinary Congress in Washington, while the 6th International Congress on Archives took place in Madrid in the autumn of 1968. After about 500 participants in Stockholm or Madrid, and 600 in Brussels, the number jumped to more than 1,000, from 62 countries, including 35 countries in Africa, the Americas, Asia and Australasia, at the 7th Congress in Moscow in 1972. The increased travel costs for European archivists cut down the list of participants at the 8th Congress which was again held in Washington to about 400, though

77 countries were represented, including 45 from the Third World. About 1,200 participants are expected for the London Congress in 1980.

The importance and influence of International Congresses on Archives extend far beyond the still limited number of people who are actually able to attend them. Numerous correspondents in all parts of the world contribute towards the preparation of working documents, which in many cases provide comprehensive international surveys of the profession's views on the subjects in question. The printing of the congress papers in several different languages and the later publications of the entire proceedings make the results available to the entire professional world. The carefully prepared Congress reports and reference papers are probably more important for the lasting professional profit of the Congresses than the discussions in plenary sessions, which largely consist in the reading of prepared statements, a phenomenon which the archives congresses seem to have in common with other big international meetings of this kind. More intensive expressions of opinion are to be found in the more narrowly specialised sectional meetings. The importance of the Congresses on Archives as forums for technical discussion and personal contacts between archivists from all countries and as an opportunity for a closer acquaintance with the archivists and the archival institutions of the host country and its region, is beyond any doubt whatsoever.

For a more concentrated discussion of current specialist problems in more intimate surroundings, Charles Braibant initiated the International Conferences of the Round Table on Archives when president of the ICA in 1953. The annual Round Table meetings, which began in Paris in the spring of 1954, are suspended in the years when the main Congresses take place. The Round Table, which originally looked after its own organisation, was incorporated into the constitution of the International Council on Archives

by the statutory reform of 1964. However, even today it still has its own bureau, which elected every 4 years, consists of a President, a Secretary and three advisers, including the ICA Executive Secretary and a representative of the current host nation.

The Round Table conferences, consciously restricted in their scope to the leading professional archivists of member countries, originally had an average of not more than 30-35 participants. As the International Council on Archives has grown, since the end of the 'sixties, the numbers of Round Table members have also steadily increased. With the 14th Round Table conference in 1973, the number of participants has been restricted to 2 delegates from each member country (or 3, in the case of federal states). 70-90 archivists from 40-45 countries have attended each of the conferences held since the adoption of the new regulations, including representatives of international organisations and invited experts and observers. This still offers a real opportunity for genuine specialist discussions. The reports produced before the start of the conference serve as a basis for discussion on the various conference themes, which as a rule are determined by the Secretary on the basis of replies to a circulated questionnaire. The Round Table reports and discussions are printed as a separate series of publications, which up till now (with one exception) are only available in French.

The changing themes of the congresses and conferences have extended from basic questions of archival self-comprehension and the rôle of archives in the service of administration and research to current developments in the field of archival technology. Among the basic topics dealt with have been the archives' concept itself and the functions of the archivist (RT '62, '70), the history of archives (CA '68), archival bibliography and terminology (CA '50, '53), education and training of archivists (CA '53, '64, RT '75), archival

budgets (RT '73), and the discussion of possible archival standards (RT '78). In the spirit of the International Council on Archives' aim of transcending national frontiers several meetings have dealt with the problems of international relations in the archives field (RT '61), the archives of international organisations (RT '61, '71), international collaboration in archival development (CA '72, '76), and the problems of claims made in connection with the reconstitution of national archival heritages (RT '77). The debates on facilitating the access to archives (CA '66, RT '67, CA '68, '76) also transcended national boundaries. The organisation of state and community archives has been dealt with (RT '57, '69), but even more attention has been paid to the problems of archives which are not in the public domain, private and business archives (CA '50, '56, '68), church archives (CA '59), and literary, artistic and architectural archives (RT '58, CA '72, RT '75). The relationship between archives and governmental administration has been discussed (RT '57, '79), the significance of archives for the economy (RT '58), and for various branches of science, for the history of art and for geography, for historical research in general and for its specialised disciplines, social, economic and agricultural history (CA '53, RT '58, '59, CA '60, RT '63), not forgetting the possible rôle of archives in education and in historico-political publicity work (RT '54, '74).

In dealing with the concrete professional problems of archival work, the main area of discussion has been the important field of records management including intermediate storage (record centres) and archival evaluation (CA '50, '56, '68, '72, '76). Discussions have been held on arrangements procedures and finding aids (RT '59, '62), archival documentation (CA '72) and the collection and disclosure of official printed material and audio-visual sources (RT '70, CA '72). Matters relating to seals have been discussed at several occasions (CA '64, '68, RT '73). The exchange of

experience in the various technical fields, which has proved to be particularly fruitful, recurs continually on the agendas for International Congresses. To the problems connected with the construction and equipment of archives buildings (CA '56, RT '63, '65), and the discussion of restoration, conservation and reproduction techniques (CA '50, '60, '68, '72 and '76) has been added the new rôle of automatic data processing in archives (CA '64, TR '65, '71). Here as in many other areas congressional deliberations were continued within the framework of the technical committee, as they were gradually being set up.

In recent years the quest to intensify exchanges of opinion and give them greater technical depth has led increasingly to the holding, apart from the annual meetings open to all member countries (Congresses or Round Table meetings), of meetings on specific subjects or limited to specific regions, meetings partly organised by the committees and partly by the newly-formed ICA regional branches. Apart from the regular conferences of the various regions, held every two or three years, and the periodic technical committee meetings, we should mention here special conferences like the 'General Conference on the Planning of Archival Development in the Third World', held in Dakar in 1975, but above all the symposia and seminars on professional matters such as archival training, records management, restoration, microfilm, data processing or oral sources, usually also held on a regional basis, and frequently initiated or supported by Unesco. Reports and the results of discussion are, here too, partly published in detail and partly in summarised form in the various publications of the International Council on Archives.

The most important of these publications has, up to now, been the journal 'Archivum', edited in Paris, which today covers all ICA member countries, with a network of over 100 correspondents. After the initial volume I (1951) had published the proceedings of the founding Congress of 1950, the editing and publication of Congress proceedings became one of the main tasks of the journal, which in this function was formally recognised

in the revised ICA constitution of 1964. The international bibliography of new publications in the archives field, which began as a section of the annual volume in 1952, had to be discontinued after the publication (in 1964) of the special volume for the years 1958/59. The chronicle on "Activities of Archives in the World", started in volume 3 (1953) and arranged by countries, had to be discontinued after the appearance of volume 11 in 1963. Since then, apart from the conference reports, there have appeared special issues on specific themes which are, to some extent, structured along similar lines, carrying reports from various countries on specific areas of interest such as notarial and municipal archives, or handbook-type compilations such as the four-volume compendium on archives legislation, the important International Directory on Archives, the latest edition of which came out in 1975 (first edition, 1956), or the extremely valuable selective "International Basic Bibliography on Archives" in the 25th volume of 'Archivum', which takes up the earlier bibliographical approach in a different way.

Although 'Archivum' in the context of the Congress proceedings also published the minutes of General Assemblies and the committee reports which are approved by them, the Executive Committee proposed, as long ago as 1968, that a separate information bulletin should be created, to provide up-to-date news on international events in the archives world, to report on the work of the newly-created regional branches, and to carry important technical notes from member countries. The 'ICA Bulletin', which has appeared twice a year since 1973, has restricted its newsletter-type information to the archival activities of Unesco, the International Council on Archives, and its various organs and bodies. Following a decision by the Executive Committee an "International Journal of Archives" is to appear from 1979 onwards as an additional medium for the exchange of professional opinions and experiences

on an international level, publishing English and French articles and reports on specific problems of various aspects of archival work twice a year.

The existing organs of the ICA technical committees will remain unaffected by the founding of this new publication. The bulletins of the ICA technical committees on microfilm and automation (ADPA), published annually since 1972, already provide what are essentially professional journals for the specific fields in question. This is also true of the Business Archives Committee bulletin, started in 1978, while 'Conservation News' and 'CAD Information', the information sheets of the Restoration and Development Committee, also started in 1978, are more in the newsletter mould. All committee bulletins are, by the way, printed, without any financial help from the Council on Archives, by individual archives or archive authorities themselves. Partially subsidised from the ICA budget are the publications of the various Regional Branches; 'South-East Asian Archives' from the SARBICA region, founded as early as 1968, 'Caribbean Archives' (founded in 1973), "El Boletín Interamericano" (founded in 1974) and the more recent 'SWARBICA Journal' (founded in 1978), together with 'The Arab Archives' (1975/76) and the 'ECARBICA Journal' (1973/77), information sheets which have so far appeared only irregularly for reasons of cost, and which would benefit from a wider circulation.

Apart from the journals referred to, the International Council on Archives' steadily expanding publications programme, expanded in recent years, which is summarised in the 'ICA Directory' (revised annually since 1978), also includes the Round Table Proceedings (13 volumes to date), the series of inventories, co-ordinated by the International Council on Archives, which form the 'Guide to the Sources of the History of Nations', the studies which have developed out of working contracts with Unesco, which have appeared partly in the Unesco series, 'DHA Studies and Research, and partly in the so-called 'green' series of the Council on Archives, and the recently-started series of

'ICA Handbooks'. The content of some of these publications is in part being referred to in the following paragraphs.

Not only the multiplicity of journals and publications appearing under aegis or involving the collaboration of the International Council on Archives, however, emphasises the necessity of continuing the attempt, at present discontinued, to disseminate regular bibliographical information on international writing relating to archives. The 'international library' which has been assembled by the 'Archivum' editorial staff in Paris through the exchange of journals and archives publications received should serve as a basis for the desired central documentation of international writings related to archives. So far lack of suitable staff and equipment have limited the exploitation of these bibliographical resources, and it would certainly be legally desirable and in line with a resolution passed as long ago as the extraordinary congress on archives of 1966 to expand these beginnings into a systematically-run bibliographical documentation and information centre for international archival science, with regular publication of bibliographical information or abstracts. A project of this nature is already envisaged in the medium term plan for the years 1978-82.

b. Measures to further professional methodology in the various areas of archive administration and archival technology

In the objectives set out in the founding statute, the exchange of opinions and experience on technical matters is made the starting point for the active furthering and co-ordination of international working projects in the fields of archives administration and archival technology. The realisation of some similarities of archival problems in many different countries has led beyond the comparative compilation of different traditions and experiences to attempt the formulation of a common terminology and common standards which in turn would provide the basis for a more thorough professional exchange and thus, at the same time, for further professional development.

The question of an international archival vocabulary appeared already in professional discussions before the 1st World War, and it was raised again during the 'thirties. On the basis of the 'Preparation of an Archival Vocabulary' put forward in 1953 by the newly-appointed secretary of the Round Table, R. H. Bautier, an ICA technical committee, set up in 1956, compiled the 6-language 'Lexicon of Archives Terminology' already referred to, which was published by Elsevier in 1964. The Elsevier Lexicon, though a useful start, was of only limited application. It was very soon out-dated by a series of new terminological lists and dictionaries from individual countries, some of which came out at the same time as the lexicon, while others were published in subsequent years. So, since 1976/77, a new Unesco-supported project has been under way involving the compilation of a multi-lingual glossary of archives terminology, which is to take into account the technical developments of recent years, but will also try to ensure the necessary co-ordination with the terminology used in the related disciplines of librarianship and documentation science.

Standards were the theme of the 18th Round Table conference in Nairobi, in 1978, and the location of the conference symbolised directly the linking of the desire for standardisation with the further development of archival work in third world countries. One aspect of this is the elaboration of a statistical model for the various fields of archival activity: a project begun in 1977/78 under Unesco working contracts and foreshadowed by the financial-statistical comparison of the budgetary resources available for archival work in various countries, which were discussed at the Round Table meeting in Luxembourg in 1973. The formulation of a model archives law (Unesco study by S. Carbone and R. Guéze, 1972), based on a comparative analysis of existing archives laws, also falls into the category of standardisation, as does the study of possible international requirements for the status of archivists, set in motion in 1977/78. The attempts to

improve standardisation and co-ordination regarding training, involving the newly-established ICA Training Committee, the elaboration and publication of guidelines for the management of non-current records and the evaluation of archives (e.g. the manual compiled by A. W. Mabbs and G. Dubosq (1974) and the study by A. Kromnow (1977)), together with research on the legal aspects of international exchanges of archives and on the legal validity of microfilm, should also be included here. Comparative research into the compilation and processing of various types of archival materials, as for instance notarial or business archives and official print audio-visual archives, could also lead to the establishment of professional standards.

Work in the various disciplines of archival technology serves "to promote all measures for the preservation, protection and defence ... of the archival heritage of mankind" as set forward in the objectives of the ICA constitution. The Congress debates on the design and equipment of archive buildings led, as early as 1966, to the handbook compiled by M. Duchein, intended as an international aid to orientation, the revised English-language version of which formed the 1st volume in the new ICA series of Handbooks in 1977. The special problems of archival construction in tropical countries were the subject of a joint Unesco-ICA study in 1975. Handbooks on archival restoration and microfilm technology and basic standards for the equipment of suitable workshops have resulted from intensive work by the combined ICA technical committees, which made particularly clear the practical value of an international exchange of experience. The meetings and seminars organised by the Automation Committee have also undoubtedly contributed to the further development of professional methodology.

c. Measures to further archival development, particularly professional training and advanced training

The fostering of archival development and the professional training of archivists in all countries were written into the list of objectives of the

ICA constitution during the Moscow Congress on Archives of 1972. As early as 1968, the Madrid General Assembly had approved the decision of the Executive Committee to give priority to measures relating to archival development aid. The future Committee on Archival Development (CAD) was set up in 1970. Then, at the "General Conference on the Planning of Archival Development in the Third World" in Dakar at the beginning of 1975, the International Archival Development Fund was brought into being, so that the International Council on Archives could support its own auxiliary projects, especially in cases where, in spite of the recognised urgency, help from other sources cannot be made available, or not quickly enough. Grants of funds from Algeria and Nigeria, Iran and Yugoslavia enabled the Fund to go into operation, although the response to requests for contributions has, on the whole, fallen below what was originally expected. As regards both organisation and finance, the main burden of archival development work in the third world countries will naturally continue to be borne by Unesco and, in big projects, by the UNDP acting through Unesco. The task of the International Council on Archives and of its Development Committee which, for its part, works in close collaboration with the various Regional Branches of ICA is to act as a stimulus, to co-ordinate development projects, which are listed in CAD's comprehensive catalogue of development needs, and to transmit concrete requests for help to suitable sponsors such as Unesco, individual member states and institutions or, in special cases, the Development Fund under the Committee's own responsibility. A further task for the ICA is to provide experts for professional seminars, training or development missions, where the fact that many of these experts now themselves come from archives in third world countries may serve as a symbol of the desired progress in development.

It is not within the scope of this report to recapitulate the critical evaluations on the subject of archival development aid offered in the respective reports for the Congresses on Archives in Moscow and Washington or to describe and enumerate in detail what ICA, both alone and in collaboration with Unesco, has achieved in the field of archival development. The balance of the results accomplished and the working programmes, especially of the results accomplished and the working programmes, especially of the most recent years, are certainly impressive, even if in the end only a part of the rather far-reaching expectations can be fulfilled. The financing of new archive buildings which is occasionally asked for, is clearly not within the realm of the International Council on Archives. The main thrust of its work, here too, is concerned with methodology and professional techniques, and many, if not most, of the projects mentioned in the previous paragraphs have been conceived in view of the special needs of archival development in the third world countries. The 'Manual of Tropical Archivology' edited by Y. Perotin, was one of the International Council on Archive's first publications. The elaboration, not only of standards for archive buildings and technical workshops, but also of model archive laws and personnel regulations, are especially aimed at those countries, where technical installations and legal foundations have to be built up from scratch. Individual missions financed by Unesco or, in isolated cases, by the Fund, help to adapt the proposed standards to the individual circumstances of specific countries.

Top priority in the field of archival development is to be assigned to the build-up of adequate training facilities. Here the creation of regional training centres in Dakar, Accra and Cordoba, which has been achieved with ICA's propagandistic and technical support, and the beginning of similar institutions in Delhi and Baghdad, may be considered as an important initial

success. The expansion and professional reinforcement of the existing centres, the setting-up of additional regional and national training institutions and above all of technical centres and model workshops for restoration and reprographic techniques, are among the foremost needs, put forward in the resolutions which were and are being passed by the various regional symposia on archival training organised in recent years by Unesco and the ICA regional branches. Both the International Council on Archives and its competent committees will doubtless continue to make it their business to stimulate the efforts required. Corresponding objectives are also included in the International Council on Archives' medium term plan.

d. Improving user facilities and finding aids

The fourth item in paragraph 2 of the section on objectives in the founding constitution deals with the user services, the improvement of archival service facilities for academic research, "to facilitate the more frequent use of archive repositories and the effective and impartial study of archival documents" (as says the amended version of the constitution) "by making their contents more widely known and by encouraging greater ease of access to archive repositories". An additional sentence aiming to make reproductions of archival material more widely available fell victim to the constitutional reform of 1964, although, in the subsequent congresses of 1966 and 1968, within the confines of the main topic, 'The opening of the Archives', the liberalisation of archival microfilm publication, as it has been operated on a systematic basis by the Anglo-Saxon archives, was to play a decisive rôle.

'Liberalisation of restrictions on access to archives' and international collaboration towards such liberalisation were session topics at the Extraordinary Congress on Archives in Washington in 1966. The final resolutions, aimed at a world-wide improvement of access conditions and user

facilities, led to the establishment of ad hoc working parties on the liberalisation of access and the possibilities of using microfilm for documentary publications. The result of ensuing investigations was the fundamental report of Ch. Kecskemeti to the subsequent 6th International Congress on Archives in Madrid in 1968, which was also issued as a separate publication with accompanying factual documentation. 'The revolution in access and use' was the subject of one of the plenary sessions of the 8th Congress, which tried to assess the progress achieved in the eight years since Madrid. The report that was presented confirmed a steady increase in the number of users and in the variety of user subjects. As a direct result of the ICA recommendations numerous countries reported reductions of the 50 year closed period limit to 30 years. The increased use of modern reproduction and indexing processes promised a further improvement of research facilities. The Microfilm and Automation Committees continued to work on the respective problems.

A major contribution to the improvement of archival finding aids which was repeatedly called for in the context of Congress debates on facilitating use, is being realized by the large-scale inventory project of the 'Guide to the Sources of the History of Nations', which was initiated as early as 1959 with a first contract between Unesco and the ICA for the inventory of archival sources for the history of Latin America. Parallel to the 'technical committee' set up at that time to co-ordinate the production of the Latin America volumes, a second committee was established following the recommendations of the 12th Unesco General Conference of 1963, to produce a corresponding inventory to the sources of the history of Black Africa in the archives of Europe and North America. Then, in 1967/68, it was decided to expand the project, supported by additional contracts, to include Asia, Australasia and North Africa. The initial deadlines could only be met for part of the work. The first volume of the inventory,

covering the sources to Latin American history available in Spanish archives, was published in 1966. During the following decade, II volumes in all appeared in the Latin American series (series 1) of the 'Guide'. Between 1970 and 1978, the first 10 volumes of series 2, 'Africa South of the Sahara', were brought out in quick succession, and since then the first volumes of series 3 have also been completed. The conclusions of this enormous project, which is now in sight, with over 10,000 pages of print already published, is undoubtedly an impressive success for international collaboration among archivists. The inventory work, of course, should be carried on, as has been repeatedly urged, by the microfilming of the archival material contained in the 'Guides' so as to put them at the disposal of the third world countries affected.

As a further consequence of this inventory project, a study on the systematic inventory to the sources of Asian history in the countries of Asia itself was commissioned. Special projects are concerned with an inventory to the sources of architectural history and with the production of a guide to the archives of the various UN organisations. Future plans aim at the co-ordinating edition of new, uniform summary guides of the archives of all the member countries of the International Council on Archives and at an improvement of information on the finding aids existing in individual countries and archives which, apart from being included in the projected bibliographical abstracts are also to be made available by means of a microfiche publication project. A test-run in this area has been realised by the microfiche version of the Black Africa inventories from series 2 of the 'Guide to the Sources of the History of Nations'.

c. Collaboration with other organisations in the field of information and documentation.

To co-operate with all organisations concerned with the documentation of human experience and the use of that documentation for the benefit of

mankind' - so runs the concluding sentence of the objectives section in the ICA's original constitution. Pride of place here goes to collaboration with Unesco, which acted as godfather at the founding of the International Council on Archives, although it is not specifically mentioned in the constitution. As an international non-governmental organisation (NGO), the ICA, from its founding onwards, participated, from time to time at least, as an adviser in joint projects such as the preparation of the convention for the protection of culture in the early 1950's. Recognised since 1962 as a category A advisory NGO, it had thereafter the right to make official comments on budget and programme proposals of Unesco, and to send observers to Unesco General Conferences and technical gatherings, which rights have been regularly exercised. Collaboration was strengthened by the establishment of the Unesco Department for Documentation, Libraries and Archives (DLA), which existed until it was absorbed in the new Division for the General Information Programme (PGI) in 1974. The International Council on Archives sends observers to the meetings of the Inter-governmental Council appointed to administer the General Information Programme and to its standing advisory committee. The Council is involved in the planning of individual projects relating to archives, and in the planning of the new Unesco Records and Archives Management Programme (RAMP). On the other hand Unesco representatives, usually specialists on archives, regularly attend the Executive Committee meetings, professional congresses and General Assemblies of the International Council on Archives as official observers.

Unesco has given financial support to the work of the International Council on Archives since the early years, as it has to that of other NGO's. The regular budgetary subvention, which is ear-marked for the publication of 'Archivum' and for financing the attendance of archivists from developing countries at events organised by the ICA, has risen from

4,500 dollars in the year 1968 to 21,800 dollars in 1979, a considerable increase, even if devaluation and rising printing costs are taken into account. The work of the International Council on Archives receives additional support from individual working contracts for specific projects, special studies and professional gatherings, or long-term undertakings such as the 'Guide' project, which has been supported since 1959. Some of the results of joint Unesco/ICA projects have been published in the series of studies founded by the DBA departments (Documentation, Libraries and Archives: Studies and research) and some as OCA publications.

From time to time, the International Council on Archives has also received financial aid for special projects from other organisations, especially international foundations, such as the Rockefeller and Ford foundations, which provided funds for professional conferences and archival advisory and fact-finding missions to Latin America and Africa. Archival work in Latin America is supported by the Organisation of American States (OAS). At the request of the Congress held in Washington in 1966, the American Council on Library Resources (CLRS) over a period of several years has contributed to ICA projects, including the expansion of the headquarters secretariat organisation.

The sentence quoted from the constitution, of course, was intended to refer less to obtaining financial support than to technical collaboration with associations with similar aims in the information and documentation field. With this objective in mind, the executive committee approved the formation, as far back as 1953, of a joint committee of the three NGO's dealing with archives, libraries and documentation, ICA, IFLA (International Federation of Library Associations) and FID (Federation International de Documentation).

However, although the three organisations sent delegates to each other's international congresses, it was a long time before a more intensive co-operation became effective. Somewhat closer contacts were established in the context of the Unesco DBA Department, founded in 1967, and its subordinate advisory committee, the IACODLA (International Advisory Committee for Documentation, Libraries and Archives, in which the three NGO's were represented, but especially in the preparation of the international Unesco NATIS conference (Conference on the Planning of National Infrastructures for Documentation, Libraries and Archives) in the autumn of 1974. The joint committee, which was revived thereafter, gives grounds for hope for a regular continuance of contacts in the future. A joint session of the three bureaux has been proposed for 1980. Aimed at specialised areas of co-operation where the formation of a joint ICA/IFLA steering committee for document and book restoration, following a working meeting held in 1971, and the more recent appointment of a Joint Project Committee on Records Management, in collaboration with the International Records Management Foundation (IRMF) following a recommendation of 1976 International Congress on Archives in Washington. A reinforcement of co-operation in other specialist areas is to be included in the planning of future Congresses.

4. Present problems and future possibilities

Our examination of the organisational structure of the International Council on Archives has revealed no serious problems in this area. It is surprising indeed that, on the whole, in spite of a lack of systemisation and numerous improvised additions and expansions over the decades, thoroughly practical forms of organisation have developed which have been able to keep pace with the growth of the Council and of its tasks. The network of Regional Branches, basically an excellent concept, which does not exist in the same form in any comparable international organisation, still needs to be completed and elaborated in some respects; though care should be taken to avoid a loosening of the ties with the main body of the parent organisation. The necessary measures to improve ICA's committee structure and the co-ordination of committee work have already been introduced. That apart, the tasks to be carried out and the way that their work achieved up to now plead in favour of a continuation of the existing technical committees. The policy committees seem to be indispensable to the running of the Council. The repeated warnings against any increase in the number of committees, however, should be more seriously heeded in future, so that ad hoc working parties for concrete projects with time limits are clearly differentiated from the standing committees. The organisation of the sections, the number of which could still be increased, should be reviewed, taking into account the possibility of certain committees serving as starting points for new sections.

The competence and structure of the central steering bodies of the Council certainly require no basic alteration, though any further enlargement of the Executive Committee and Bureau should be avoided, as they would otherwise become too unwieldy. The Secretariat, once the second professional archivist's post already advertised has been filled, should be in a position

to cope with the tasks allotted to it efficiently in the future as it has so far, though it would certainly help, if one or the other national archives administrations found it possible to second young archivists on a temporary basis for special tasks. As previously, so in the future, much of the work will certainly have to be delegated. This is perhaps also true as regards collaboration with the neighbouring professions, which is to be strengthened further.

Here, in the work of the committees, Regional Branches and Sections, as in the execution of the far-reaching concepts of the medium term programme, the question of finances arises. Reform and periodic adjustment of the members dues have undoubtedly created a more solid financial basis. The contributions made by Unesco have gradually increased, though a further augmentation is urgently desirable. The annual accounts, which present a rather favourable picture at present, should not blind us to the fact that the very remarkable achievements of the International Council on Archives, a great deal of its publications activity, the congresses and meetings, right down to committee meetings and section conferences, have only been made possible up to now by the fact that the Council, classified explicitly as a non-governmental organisation, is supported to a substantial extent by contributions from a limited number of national archives administrations, which far exceed the income from subscriptions. To this is added the personal efforts of what is similarly a relatively limited circle of committed archivists. The French archives administration provides premises for the secretariat and some of its equipment. The committee bulletins are published by individual member nations and institutions, without any drain on ICA resources, and ICA and Unesco sources can only cover the costs of travel to and from meetings of the steering body and the committees for some of the experts attending from developing countries. It only remains to be hoped that this form of support can be continued, at the same time aiming at the

future participation of administrations which have not taken an active part in it up till now.

Perhaps the most important problem is promoting participation in the work of the International Council on Archives. One of the subsidiary papers is concerned with the relationship of the individual archivist to the International Council on Archives. The progress reported in bringing the national archives and existing associations of archivists in the work of the International Council on Archives, on the other hand, is limited to a comparatively restricted number, which mostly stem from only a few countries. A substantial proportion of category C and D memberships are really only annual subscriptions to 'Archivum', which would, of course, still make them worthwhile. About 1500 copies of 'Archivum' are distributed by subscription and individual sale at present. One thousand copies are printed of each issue of the 'ICA Bulletin', and a similar number is the target for the 'International Journal of Archives', once it begins to appear. The estimated print runs for individual publications lie in general between 500 and 1,000. This, however, certainly means that, quite apart from the limited active participation only a relatively small proportion of archives and archivists in the 100 member states of the International Council on Archives are being contacted and addressed. The 'International Archives Week 1979' organised by the ICA Section of Archival Associations attempted to increase publicity for international archives work. The more effective dissemination of the results of the International Council on Archives work should, however, receive much more attention in the future. Only thus will the stronger response, the support from archivists all over the world, be obtained, which is urgently required as the basis for the future work of the International Council on Archives and for the strengthening of its position with regard to Unesco and competing professional organisations.

Within and beyond the working programmes developed by ICA and Unesco, there is certainly no lack of important and rewarding tasks for our organisation in the years to come.

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ANNEX

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Copies of the above studies and reports may be obtained without charge, to the extent that they are still in print, by writing to :

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